

doc
CA1
EA
80E82
ENG

Draft

Evaluation in the Department of
External Affairs:

A Plan for Development



Bureau of
Management Consulting

Bureau des
conseillers en gestion

Supply and Services
Canada

Approvisionnement et Services
Canada

M
.6239525

Dept. of External Affairs
Min. des Affaires extérieures

NOV 18 1991

RETURN TO DEPARTMENTAL LIBRARY
RETOURNER A LA BIBLIOTHEQUE DU MINISTRE

Report Prepared for the
Head, Evaluation and Audit
Department of External Affairs

Project No. 3-2697

February, 1980

Evaluation in the Department of
External Affairs:

A Plan for Development

43-260-665

PREFACE

The report documents the results and the approach followed during a study intended to assist in developing the program evaluation function in the Department of External Affairs. Much of the work was performed by a small study team, led by the Bureau of Management Consulting with staff of the Office of Evaluation and Audit participating.

The opinions expressed, the inferences drawn, and the recommendations contained in this report are those of the consultants involved, and may not necessarily be shared by the Head, Evaluation and Audit.

EXECUTIVE SUMMARY

An aspect of management which has been assuming increasing importance in recent years is the carrying out of periodic in-depth evaluations of program efficiency and effectiveness. Treasury Board issued a policy circular in late 1977 which directed deputy heads of departments to establish a comprehensive evaluation plan to ensure that such evaluations are carried out for all their departmental programs. This report documents the results and approach followed during a study directed towards assisting the Department of External Affairs (EA) to establish an evaluation function and develop an evaluation plan.

Background

The first chapter of the report gives an overview of program evaluation and its genesis in the Department. Program evaluation differs from the ongoing self-evaluation that is part of the management process in that it is more objective, broader in scope, strategic rather than operational in nature, and directly serves senior management. The most common of the various purposes which have been suggested for program evaluation are listed in section 1.1.2 of the report.

Three generic evaluation types are presented, namely conceptual, process and effectiveness evaluations. These form a sort of hierarchy in the order stated, where the latter types include elements of the preceding ones. The type selected for any particular program depends on various factors including management needs, resource availability and technical feasibility.

The Comptroller General is acting as a catalyst for the introduction of program evaluation in the Public Service. The Department of External Affairs created the Office of Internal Evaluation and Audit (EAP) to carry out the evaluation function under the general supervision of an Audit and Evaluation Committee. A study team composed of EAP and consultants has been working to develop an evaluation plan and capability and the report documents their progress to date.

Issues

Various general issues have emerged in this study and these are documented in Chapter 2. The first of these is a jurisdictional question related to the unique role of the department vis-à-vis ICER. The viewpoint adopted is that ICERIS is responsible for a horizontal look across the programs of all departments at posts, whereas EAP is responsible for a vertical look at EA programs (which in many cases are delivered through posts).

The second issue is connected with breaking down the departmental activities into evaluable units, called program components. Because of the nature of EA, the most practical way to obtain suitable components was to work upward from the organizational structure. There were 28 components identified and carried forward to the planning stage (listed in Appendix 2).

The remaining issues are regarded as important determinants of success or failure of evaluation. They are discussed in section 2.3 and comprise the evaluation philosophy, scope, priorities, methodology, involvement of program managers, organization, follow-up, and coordination with audit, ICERIS and central agencies. Several recommendations flow from this section.

Assessments

One of the important steps prior to evaluation is conducting an evaluability assessment. The assessments serve to decide the extent to which components are evaluable and, if performed in sufficient depth, as a guide to designing an eventual evaluation. Two levels of assessment were carried out in developing the evaluation plan. One was an overview assessment of each component to determine the appropriate type of evaluation and gain a rough idea of the resources necessary to carry it out. Three components were selected for more detailed assessment as a prelude to possible evaluation in the first year of the plan. Details of the procedure used are given in Chapter 3. Reports on the three detailed assessments are presented in Appendices E, F and G.

Long-term Plan

The draft evaluation plan is presented in Chapter 4. The chapter commences with an explanation of why a plan is necessary and how it is likely to evolve over time. It presents the important factors which must be balanced against each other in drawing up the plan. In practice, the balancing is complicated by the interaction and overlap among the factors.

The method of constructing the plan can be briefly described as follows. First of all, the components were screened to reject any which appear to be unsuitable due to constraints or other considerations. The remainder were sorted in order of desirability, using the criteria of management priority and technical difficulty. The resource requirements to evaluate each component were estimated. Finally, an evaluation schedule was prepared taking into account resource availability and other constraints. The recommended schedule is presented in Table 4.

Resources

Chapter 5 considers the overall resource requirements to conduct evaluation. The type of skills and background desirable for evaluators are outlined, with some thoughts on how they might be acquired for EAP. Quantitative estimates are made of the productive effort of an evaluation unit composed of a working manager and two officers. These estimates are used to project dollar requirements for the first cycle of the plan. Finally, the implications of using more officers (a shorter evaluation cycle) and rotational as opposed to non-rotational officers (mainly reduced productivity) are presented.

Recommendations

Chapter 6 gives a list of recommendations grouped in four families. The first family deals with the plan itself. General approval for the plan is sought as well as specific approval for some of the assumptions used in its construction.

The second family deals with resources, suggesting a unit of at least three persons (manager plus two officers) with at least two of the three being non-rotational. The principle of decreasing use of outside resources needs confirmation. Staffing should be expedited to take maximum advantage of the outside resources engaged.

The third family deals with implementation. Evaluation should proceed in the coming fiscal year for the Consular, Foreign Policy Formulation and Coordination: UN Affairs, and Public Affairs: Abroad components. General design parameters should be specified by the Audit and Evaluation Committee based on the detailed evaluability assessments and the necessary resources committed.

Recommendations in the final family enhance the conditions for successful evaluations. Four of these seek approval of principles for conducting evaluation, dealing with scope, use of evaluability assessments, appropriate methodology and involvement of program managers. The need for follow-up of results is pointed out as is the need for coordination with certain other groups.

TABLE OF CONTENTS

| | <u>Page</u> |
|--|-------------|
| PREFACE | i |
| EXECUTIVE SUMMARY | ii |
| <u>CHAPTER</u> | |
| 1. INTRODUCTION | 1 |
| 1.1 Introduction | 1 |
| 1.2 Background | 4 |
| 1.3 Development of the Evaluation Function | 8 |
| 2. DISCUSSION OF ISSUES | 11 |
| 2.1 Jurisdiction | 11 |
| 2.2 Identification of Program Components | 13 |
| 2.3 The Evaluation Process | 17 |
| 3. EVALUABILITY ASSESSMENTS | 24 |
| 3.1 The Evaluability Overview | 24 |
| 3.2 Detailed Evaluability Assessments | 27 |
| 4. THE EVALUATION PLAN | 31 |
| 4.1 Purpose | 31 |
| 4.2 Approach | 31 |
| 5. RESOURCES | 43 |
| 5.1 Staff | 43 |
| 5.2 Funding | 47 |
| 5.3 Alternative Resourcing Possibilities | 48 |
| 6. CONCLUSIONS AND RECOMMENDATIONS | 52 |
| 6.1 Recommendations re the Plan | 52 |
| 6.2 Recommendations re Resources | 53 |
| 6.3 Recommendations re Implementation | 54 |
| 6.4 Recommendations re Process | 55 |

LIST OF APPENDICES

- Appendix A: EAP Terms of Reference
- Appendix B: Basic Component Information
- Appendix C: Guidelines for Conducting Evaluability Assessments
- Appendix D: Evaluation Component Description Form
- Appendix E: Evaluability Assessment of Consular Services
- Appendix F: Evaluability Assessment of Foreign Policy Formulation and Coordination: United Nations Affairs
- Appendix G: Evaluability Assessment of Public Affairs: Abroad

LIST OF TABLES

| <u>Table</u> | <u>Page</u> |
|--|-------------|
| 1. Summary of Detailed Evaluability Assessments | 30 |
| 2. Ranking Factors for Evaluation Plan | 35 |
| 3. Preferred Order of Evaluation of Components | 37 |
| 4. Evaluation Schedule | 41 |
| 5. Anticipated Productive Effort from EAP Staff | 46 |
| 6. Estimated Consulting Costs | 48 |
| 7. Productive Effort With Three Non-Rotational Evaluators | 50 |
| 8. Productive Effort With Three Rotational Evaluators | 50 |

LIST OF ILLUSTRATIONS

| | <u>Page</u> |
|---|-------------|
| Figure 1: Conceptual Outline of the Development of the Evaluation Function | 9 |
| Figure 2: Conceptual Framework for Complementary EAP/ICERIS Mandates | 13 |
| Figure 3: Productivity Curve for a New Evaluation Unit | 45 |

1. INTRODUCTION

1.1 INTRODUCTION

1.1.1 What is Program Evaluation?

The management of any organization, including a government department, involves four related tasks: planning; organizing; directing; and controlling.

The task of controlling, in turn, comprises several interrelated components. One of these which has been assuming given increasing importance in recent years is the carrying out of periodic in-depth evaluations of program efficiency and effectiveness. The principal characteristics that distinguish such "program evaluations" from the normal day-to-day monitoring of programs, and the on-going self-evaluation that is part of the management process, are as follows:

- a) they are conducted by individuals whose objectivity and impartiality in relation to a particular program is not open to question;
- b) they are more strategic than operational in nature, emphasizing fundamental questions of program effectiveness and alternative program design;
- c) they are generally broader in scope, and employ techniques and resources not usually available to individual managers;
- d) the prime "client" of the evaluation is senior management, frequently the Deputy Minister, rather than the line managers directly involved.

Program evaluation has been defined many different ways, but in a public context one of the most descriptive definitions may be as follows: "Evaluation is a periodic, independent and objective assessment of a program (product or service) to determine the adequacy and appropriateness of its objectives, its design, its results both intended and unintended, its rationale, its impact on the public, and its cost effectiveness as compared with alternative means of program delivery".

Program is an elastic concept. The term can apply to very large segments of a Department's operations (as in the program structure of the Estimates) or to specific components and sub-components of overall departmental activity.

What is a program at one level of management is a sub-program at another.

For purposes of evaluation, a program component constitutes in terms of size, expenditures, homogeneity of purpose, and relative importance, a suitable entity or "lowest common denominator" for evaluation. It comprises a set of operations or processes that support a statement of objectives, and whose effects or impacts are perceived to contribute to meeting these objectives. Often a program is the prime responsibility of a unique organizational unit, and is linked to it with clear lines of accountability. Many program components, however, cross intra or interdepartmental organization lines; many also involve both headquarters and field activities.

1.1.2 Purpose

Many different purposes have been suggested for conducting program evaluations, particularly those of a retrospective nature. Many of these purposes are complementary, and none are mutually exclusive. The most common ones may be identified as follows:

- a) to assess, as objectively and rigorously as is practicable, the effectiveness and efficiency of a program;
- b) to provide a sound basis for improving the effectiveness and/or efficiency of a program through re-design;
- c) to provide better information to senior management for use in the resource allocation process;
- d) to provide accountability to the Deputy Minister, and eventually to Parliament, for the resources expended;
- e) to provide justification for resources to central agencies;
- f) to develop a better understanding of the effects, processes, issues and problems within a program, and of the program's interrelationships with other programs.

In essence, there are three fundamental questions. What is the program actually doing? Should it be continued? How can it be done better?

1.1.3 Types of Evaluation

There are three basic, generic types of program evaluation. These types can be styled conceptual evaluation, process evaluation and effectiveness evaluation, ranged in order of increasing depth, scope, and data requirements.

These types may be considered to form a hierarchy, the higher ones automatically including at least some elements of the lower ones. A conceptual evaluation is possible and generally desirable for any program. It is useful in itself, and may also form a "front-end" for either a process or effectiveness evaluation. An effectiveness evaluation is more comprehensive than a process evaluation, and is directed primarily at assessing the actual effects of a program. However, it will generally incorporate some consideration of process-type questions, the amount of detail depending on the terms of reference of the evaluation. The generic type selected for any particular evaluation depends on some combination of the technical feasibility of conducting a "higher order" evaluation, management needs, and available resources.

A conceptual evaluation is carried out when objectives are difficult to articulate in a form amenable to measurement, links between activities and their effects are vague, or the program effects are strongly influenced by events outside the control of the program manager. Such an evaluation would normally include an examination of the program mandate, and the identification and study of issues and concerns related to the program. Subjective determination of program impacts (intentional and unintentional) would be made, and an assessment of alternative ways to obtain the desired program outputs or effects would also be undertaken. The principal benefits of such an exercise are likely to be clarification of objectives and recommendations for alternative program design. This type of evaluation does not require empirical data, and is thus quicker, less costly and has a wider range of application than the "higher-order" types.

Process or efficiency evaluations may be appropriate when the activities are coherent, the process is reasonably well defined, both the inputs and the outputs are amenable to measurement, but the actual program effects on the environment are difficult to identify or measure. They are particularly useful for process oriented work especially if large numbers of resources are involved. These evaluations are undertaken with a view to improving the operational process of a program with possible resource savings. In

many respects a process evaluation may be similar to a broad operational audit, but the emphasis is placed on alternative ways and resource levels for carrying out the process with greater efficiency or economy, rather than on the adequacy of the particular existing systems, procedures and controls.*

Effectiveness evaluation is principally concerned with program effects or impacts and the extent to which they achieve program objectives. In order to perform such a study, both objectives and effects must be clear and a causal link between activities (or outputs) and effects must be discernible. One may be interested in finding improvements leading to greater future effectiveness, or in reassessing the resources devoted to the program (i.e., changing its priority) in the light of its current effectiveness. This type of evaluation is founded on methodological rigour and large amounts of empirical data, often collected and analysed at significant cost.

Often a preliminary evaluability assessment will point out changes or clarifications that must be made in order to carry out effectiveness evaluation (which may delay the conduct of the evaluation itself).

Although effectiveness evaluations are normally associated with programs where products or services are directed outside the department (e.g. to the public), there are occasions where an "internal" effectiveness evaluation may be appropriate also for an essentially internal support program. As but one simple example, a process evaluation might result in significant improvement to the efficiency and economy of the library services program. Only an "internal" effectiveness evaluation, however, with a scope and methodology that included the clientele of this program, would address the questions of the basic need for the program and the impact of alternative service levels.

1.2 BACKGROUND

1.2.1 Evaluation in the Public Service

The issuance of Treasury Board policy circular 1977-47, in late 1977 has generally been regarded as an important

* Either a conceptual or process evaluation may lead to the development of some form of operational performance measurement system.

step in improving the control of the expenditure of public funds; the subject of this policy directive was program evaluation.*

Among the more significant provisions of this document, the deputy heads of all departments and agencies were directed to ensure that:

- a) all programs are periodically and objectively evaluated, and that the results of such evaluations are communicated to deputy heads and other appropriate levels of management;
- b) the evaluations provide for a thorough review of "the effectiveness of programs in achieving their objectives, and of the efficiency with which they are administered";
- c) a comprehensive plan of evaluations be established to ensure all departmental programs are evaluated, as a guide, once every three to five years.

With the creation of the Office of the Comptroller General, program evaluation policy for the federal government became one of the responsibilities of this new organization. Late in 1978 this office produced a set of draft guidelines for "Program Evaluation in the Public Service". These guidelines do not constitute a manual for conducting evaluation studies, but rather were intended to clarify the expectations of the Comptroller General in the area of program evaluation. Although considerably more detailed, the guidelines were very much in accord with the previous Treasury Board directive, as indicated by the following quote:

"It is suggested that the deputy's responsibility for program evaluation is to ensure:

- (1) that a plan exists to review all components of the organization at least once every three to five

* During the same year, a new Auditor General Act was proclaimed which significantly broadened the mandate of the Auditor General to include issues related to "value for money", such as efficiency and effectiveness. His office has subsequently expressed particular interest in departmental evaluation programs, and even the quality of individual evaluations.

- years, and that evaluative functions in the department are suitably coordinated;
- (2) that the terms of reference for evaluation studies are broadly cast and that no area or issue is excluded without due care;
 - (3) that evaluators are qualified and objective; and
 - (4) that appropriate action is taken based on the findings of program evaluations."

Like the Treasury Board directive, these draft guidelines reflect the clear intent that program evaluations should address questions of both efficiency and effectiveness, and that the evaluation plan should encompass the entire department, covering both operational and support or administrative programs. In actual practice, however, the program evaluation function has evolved quite differently (and to different degrees) in various departments. There is also some indication that the expectation of the Office of the Comptroller General may be changing, particularly with respect to the inclusion of efficiency questions in the evaluation design, and the appropriateness of a three to five year cycle for the evaluation plan.

Although there thus exists considerable flexibility with respect to the organization and emphasis of the program evaluation function in various departments, there is no doubt as to the continuing commitment of the Comptroller General to the basic principles. Two examples of recent initiatives have been the much publicized IMPAC (Improvement in Management Practices and Controls) survey, wherein program evaluation was one of 14 management functions specifically studied in a large number of departments, and the Program Evaluability Review. The purpose of the latter study, not yet completed, is to review basic program evaluation information in certain large departments, to assess progress made in developing an evaluation function, and to assist as necessary in developing evaluation plans for these departments.

1.2.2 Evaluation in External Affairs

Historically, many individual Bureaux of the Department of External Affairs have undertaken reviews of selected programs and activities according to their perception of needs. Most have been performed internally by program managers, as part of the management process. The nature and

scope of these review processes vary dramatically. Specific examples might be the annual review of the long range capital program by the Bureau of Physical Resources, the annual review of the U.N. General Assembly by the Bureau of U.N. Affairs, and reviews of the success of particular state visits by the Bureau of Protocol.

The development of a comprehensive, formally structured program evaluation framework for the Department began with two complementary initiatives in the spring and summer of 1979.

The first step was the establishment of an Evaluation and Audit Committee to advise the Under Secretary of State on all matters related to evaluation (and audit). The committee is chaired by the Under Secretary, and the Deputy Under Secretary, Management and Planning, is his alternate. Permanent members consist of two Assistant Under Secretaries, the Director General of Finance and Management Services, and Personnel, and the Chairman of the Policy Planning Secretariat. Other members may be added at the discretion of the Chairman.* Responsibilities of this committee, as per its Terms of Reference, include:

- reviewing long term plans and approving annual work schedules of the evaluation (and audit) offices;
- ensuring appropriate coverage of departmental programs and activities;
- reviewing all internal and external evaluation (and audit) reports referred to it by the Under-Secretary and ensuring appropriate follow-up action is taken;
- assessing the adequacy of resources for the evaluation (and audit) activity;
- reviewing the appropriateness and performance of departmental evaluation (and audit) processes.

The second "watershed" decision taken was the creation of an Office of Evaluation and Audit (EAP) in July 1979. The Head of this Office reports directly to the Under Secretary; reporting to him in turn are a Director of Evaluation and a Director of Audit. The primary purpose of the Evaluation Branch, to quote from its Terms of Reference, "is to

* The Head of the Office of Evaluation and Audit is an ex-officio member.

provide the Under Secretary on a continuing basis with systematic, independent appraisals of the appropriateness of departmental programs and activities, and of the economy, efficiency and effectiveness with which they meet objectives and goals". The complete Terms of Reference are attached as Appendix A.

1.3 DEVELOPMENT OF THE EVALUATION FUNCTION

Many problems confronted the new Office of Evaluation and Audit. The most immediate need on the evaluation side was to develop a comprehensive evaluation plan.* Necessary precursors to developing such a plan were at least some understanding of the magnitude and complexity of the task that would apply program evaluation concepts to the Department of External Affairs, and the identification of appropriate evaluation components.

A small study team was therefore established to assist in developing and installing a program evaluation capability within the Department. Responsible to the Head, Evaluation and Audit, the team was led by consultants from the Bureau of Management Consulting, retained to provide the requisite evaluation expertise.

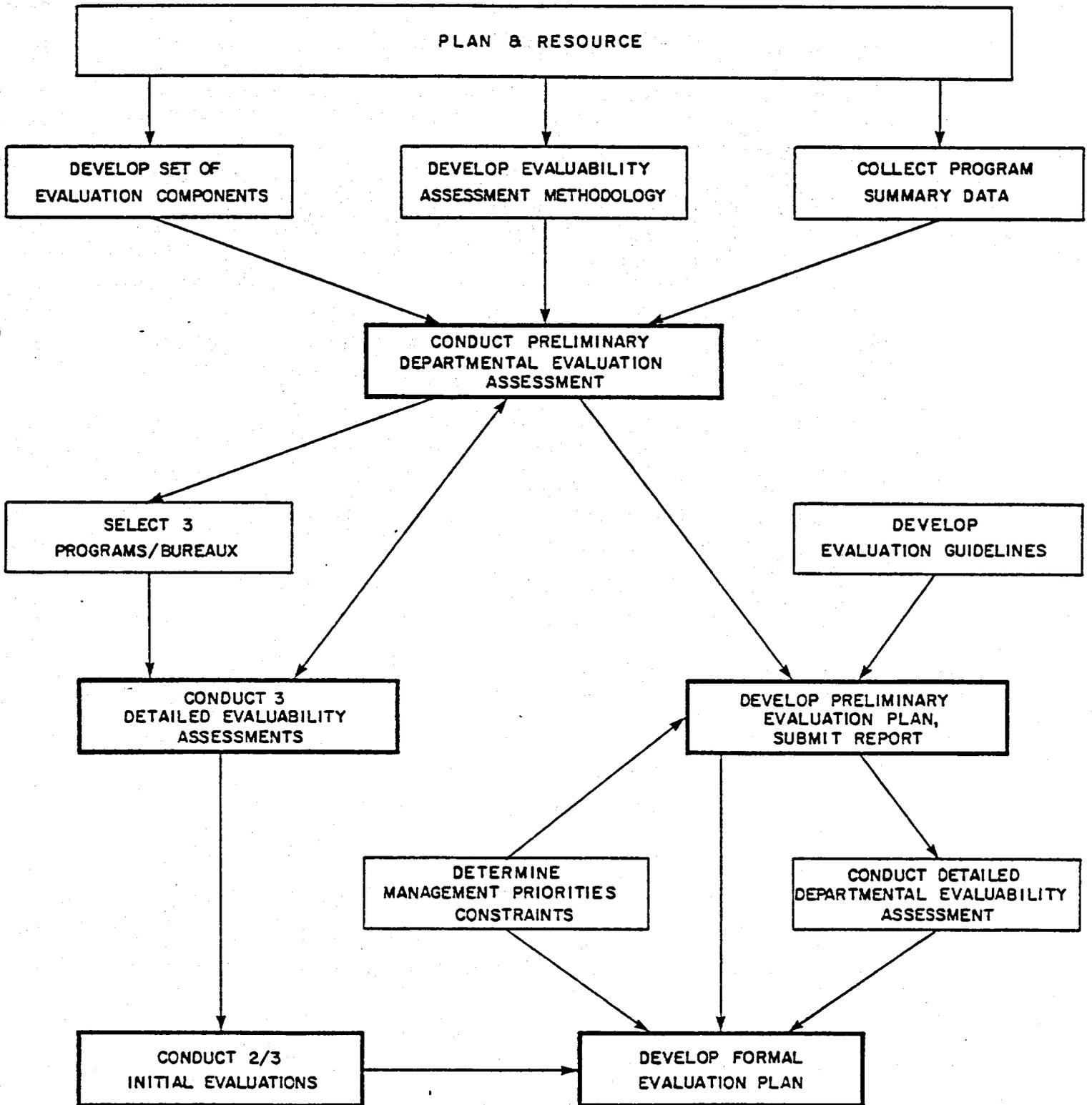
An operational plan for the development of the evaluation function was developed by the study team, and approved by the Evaluation and Audit Committee in September, 1979. This plan is shown diagrammatically in Figure 1, and major elements of it are summarized below:

- a) the conduct of a department-wide evaluability assessment overview to assess subjectively and relatively quickly the extent to which all departmental programs are evaluable;
- b) the undertaking of two or three more detailed evaluability assessments of particular components, in order to determine the appropriate nature, scope and resource requirements of a subsequent evaluation, and to involve the line managers;

* Notwithstanding the desire to "get on with" conducting actual evaluations, some investment in developing a sound foundation of planning and methodological approach was not only desirable but essential at this stage.

Figure 1

CONCEPTUAL OUTLINE OF THE DEVELOPMENT
OF THE EVALUATION FUNCTION



- c) the development of a preliminary departmental evaluation plan, based partly on the results of the evaluability assessments and partly on other considerations such as relative management priorities, size of program and size of evaluation.

This report describes the process followed during the course of this study; it also presents the results of the evaluability assessments and a draft evaluation plan. Certain relevant issues such as jurisdiction and alternative approaches to developing the evaluation plan are also discussed.

Two additional tasks identified in this plan have not yet commenced; these represent what might be considered a second stage of development. The first refers to the periodic revision and update of the Evaluation Plan as more information is obtained through further evaluability assessments, or as priorities and/or available resources change. The second task refers to conducting the first two or three actual evaluations, in order to obtain a minimum of "corporate" practical experience in the evaluation function. Subject to the approval of the Evaluation and Audit Committee, the first evaluation is expected to begin in March or April, 1980.

2. DISCUSSION OF ISSUES

2.1 JURISDICTION

The mandate, indeed the requirement to develop and to implement an evaluation program within the Department of External Affairs, is clear. It starts with Treasury Board, is reinforced by the Comptroller General, ends with the Under Secretary and the Evaluation and Audit Committee, and is discharged by the Office of Evaluation and Audit.

The question of jurisdiction for evaluation activity, however, is somewhat clouded by the Department's unique role in providing administrative support for all foreign service departments in posts abroad, and the existence of the Inter-departmental Committee on External Relations (ICER). ICER was established in 1970 to advise the government on the formulation of foreign policy, to make recommendations with respect to personnel policies and appointments, and, most significantly, to "harmonize" the country plans of the various foreign service departments - partly by controlling resource allocations at all posts abroad. It is chaired by the Under Secretary and includes the Deputy Heads of foreign service departments (CEIC, CIDA, ITC, and DND), plus the Secretaries of Cabinet and Treasury Board.

Recently, an expanded mandate has been promulgated for the ICER Inspection Services (ICERIS). This assigns ICERIS the responsibility and authority to carry out, on behalf of ICER, "assessments of the effectiveness and efficiency with which Canada's posts abroad meet prescribed objectives". It also charges ICERIS to "complement the assessments of programs of departments and agencies operating abroad by running a single, centrally managed system of foreign operations".

Given this revised ICERIS mandate, and the fact that a substantial proportion of the Department's resources are deployed overseas (both to deliver its own programs and to support those of other departments), what then should be the jurisdictional mandate for the evaluation function within External Affairs? Should it restrict itself to headquarters activities only, leaving the rest to ICERIS? To this question we would respond with an emphatic no; such a proposition is incompatible with the concept of program evaluation. Virtually all programs are to varying degrees delivered or supported by posts abroad. It makes little sense, for instance, to consider evaluating such programs as Consular Services, Communications, or Public Affairs Abroad without

appropriate consideration of both ends of the stick: headquarters bureaux and posts abroad.

In our opinion, the Deputy Minister of every foreign service department is responsible for the evaluation of all of his programs, including those with elements abroad. This applies equally to the Department of External Affairs. It is not likely to become an immediate issue with other departments, however, because relatively much smaller proportions of total programs and resources are involved.

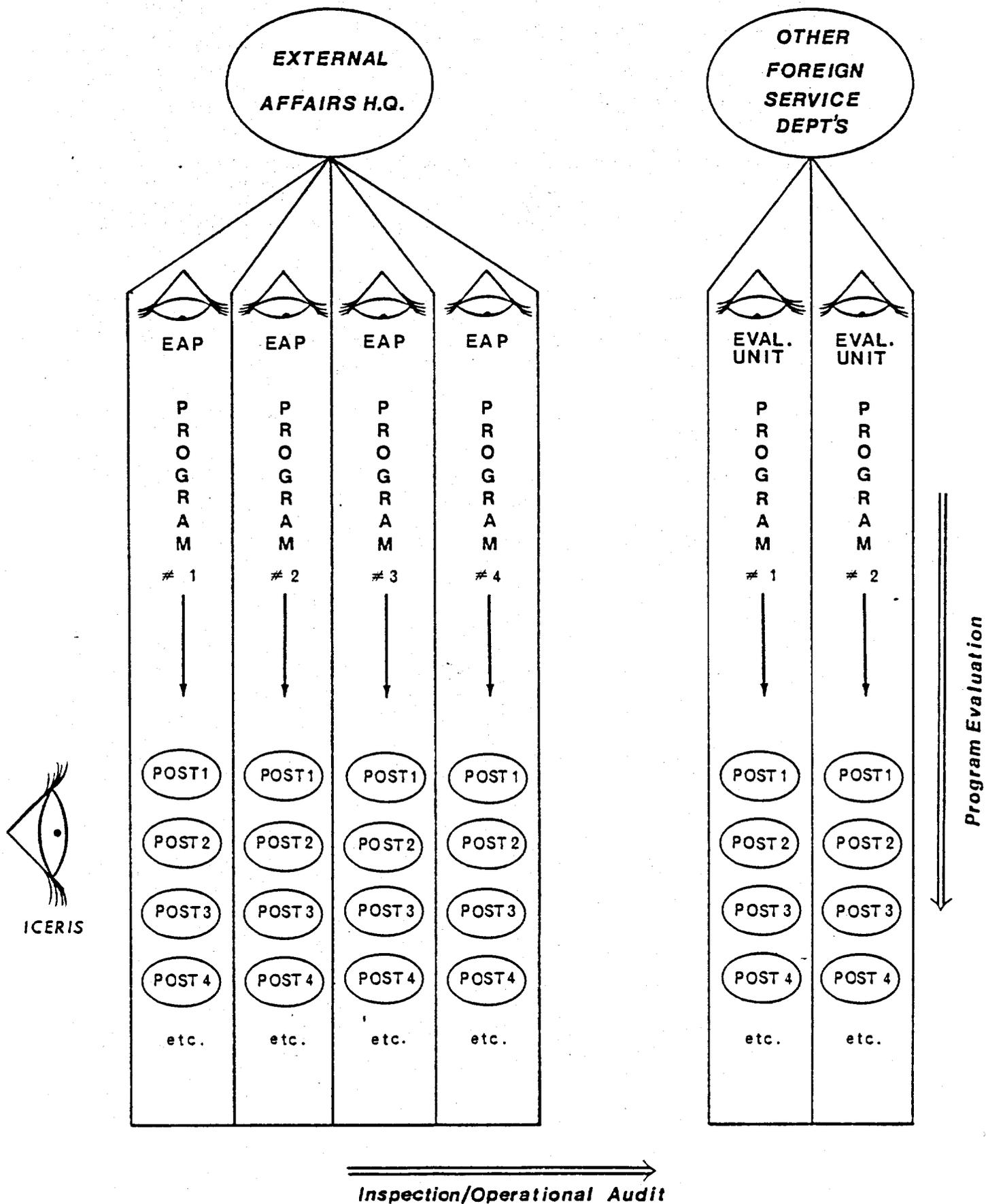
In the case of External Affairs, the evaluation framework being developed is intended to ensure the Under Secretary that value for money is being achieved for all expenditures under his direct control, by periodic evaluation of all aspects of all departmental programs. This need in no way conflicts with the ICERIS mandate, for the two roles are essentially complementary. The EAP focus is an individual program, administered through all or a number of parts; the ICERIS focus is the post and all programs which it supports. Also at least in the short term, for reasons of both resources and methodology, the main ICERIS thrust is likely to continue to be more of an operational audit nature than actual program evaluation. Many opportunities are likely to write for the two functions to assist each other, and every effort should be made to develop close working relationships.

The complementary nature of this perception of the two quite different roles is illustrated in Figure 2.

In the longer term, it is recognized that yet a third form of evaluation is desirable. This would be an attempt to assess the extent to which Canadian foreign policy objectives associated with certain countries or geographic areas are being achieved by the resultant of all programs of all departments. Such comprehensive evaluations along geographic lines would be quite complex and methodologically challenging. They would also clearly require interdepartmental coordination of evaluation plans. In our opinion, this evolutionary form of evaluation transcends the mandate of EAP, and leadership in this direction should come from ICERIS.

Figure 2

CONCEPTUAL FRAMEWORK FOR COMPLEMENTARY EAP/ICERIS MANDATES



2.2 IDENTIFICATION OF PROGRAM COMPONENTS

One of the first problems faced in the development of a departmental evaluation program is that of identifying an appropriate set of program components. These may be viewed as discrete evaluable units, or basic building blocks, which together form the framework of the plan.

Given the expressed intent to develop an evaluation plan that will encompass all programs and expenditures under the direct control of the Under Secretary, how does one go about constructing an appropriate set of program components? This problem, faced by all departments, is made particularly difficult in the case of External Affairs by its unique role and environment. Many alternative approaches were considered; none was viewed as being particularly good. Largely for reasons of expediency, yet adequacy, the approach finally adopted is essentially an organizational one. Each of the alternatives considered is discussed briefly below:

a) Work Downward from Foreign Policy Objectives:

Conceptually perhaps the most interesting approach to evaluating the effectiveness of External Affairs programs would be in terms of the extent to which they contribute to meeting Foreign Policy Objectives. Unfortunately this approach suffers from at least three very large practical handicaps. The first is the nature of the objectives and their related National Issues which, not surprisingly, tend to be very broadly stated, non-quantifiable, and often rather altruistic. The relationships between these macro objectives and specific departmental programs and activities is also quite complex and difficult to articulate. The second, seemingly insurmountable problem would be isolating the particular effects of an External Affairs program in a specific area (say economic growth) from those of complementary programs operated abroad by other departments (e.g. ITC). Lastly there are the overriding questions of mandate and jurisdiction discussed in the previous section. Such an approach should properly be interdepartmental in character, initiated by ICER, and not by External Affairs unilaterally.

b) Work Downward from Main Estimates Activities

This approach, which has been employed with some success in other departments, was also rejected as being impractical. External Affairs has only one Program identified in the Estimates, "Protection of Canadian

Interests Abroad". The Estimates are grouped in five Activities within this (e.g. "Relations with Foreign Governments and Intergovernmental Institutions"), but again the links from these essentially arbitrary classifications to specific program components suitable for evaluation are ill-defined. Furthermore, there are no specific "big-ticket" expenditure programs as there are in many other departments (e.g. the ITC Enterprise Development Program). Because of this and the department's support responsibilities abroad, a relatively much higher proportion of total departmental resources go into operational support and administrative programs.

c) Work Upward from Country Programs

Another possible approach might be to try to develop an evaluation plan from some aggregation or analysis of individual Country Programs. This, unfortunately, also has major drawbacks. First, the Country Program system seems to be primarily a resource allocation exercise. Objectives are essentially established by Posts, they are not amenable to objective assessment, they are set in an interdepartmental context, and they do not appear to be part of any formal review or planning process in External Affairs headquarters. Second, there is no direct relationship between the program structure of Country Programs and headquarters activities or organization.

d) Work Upward from the Organization Structure

Largely by default, the approach finally adopted was predominantly an organizational one. Using a head-quarter's perspective, the department was disaggregated along vertical program lines into a set of components that would provide an appropriate focus for evaluation. This was very much an iterative process involving many revisions to the original list, sometimes crossing organizational lines, and often splitting or combining Bureaux into what were considered homogeneous components of manageable size. The criteria employed for component identification were:

- homogeneity of objectives
- significant person-years and/or financial resources
- a set of common or related activities
- an organizational/administrative coherence (including functional responsibility for post activities).

The set of program components was intended to encompass the totality of departmental activities, expenditures, and person-years, excluding post activities and resources not directly related to specific headquarters programs. All types of activities were thus included, ranging from the entirely operational (e.g. Passport, Consular) to the entirely administrative (e.g. finance, materiel management). All geopolitical and other "policy" bureaux were grouped along program lines and also assigned to particular components (e.g. Foreign Policy Formulation and Coordination: Economic and Technological).

Where post resources could be readily identified with specific programs (e.g. Consular Services, Public Affairs Abroad) they were explicitly included in the program component. Where the post/headquarters linkage is less clear (e.g. there is no obvious way to allocate "General Relations" resources in the posts among the set of policy components identified from a headquarter's perspective), appropriate post resources are only included in the plan implicitly. On the other hand, post resources within the category "assistance to other programs" are not included in the plan at all. These do not fit into the departmental evaluation framework, and are therefore left to the jurisdiction of ICERIS.*

The final set of components carried forward to the planning stage is presented in Appendix B. One may note that there are 28 in total, varying greatly in size. Some are closely aligned with a Headquarters Bureau, others combine or split individual bureaux responsibilities. A few reflect strictly a Headquarters connotation; most to varying degrees, explicitly or implicitly include program elements that involve post resources and activities. Similarly, there is a broad range in the degree of definition possible for these components; some such as Communications may be defined crisply; others, especially in the Foreign Policy Formulation and Coordination group are more difficult to delineate.

* Conceivably, evaluations of the efficiency/effectiveness of post operations could be undertaken as a separate evaluation thrust by EAP, but this is currently the mandate of ICERIS.

2.3 THE EVALUATION PROCESS

In this section we offer our views on some of the more significant considerations in developing, implementing and obtaining useful results from an evaluation program in the Department of External Affairs. Not all of the subjects that are discussed below may be major issues, but they are regarded as important determinants of success or failure.

a) Evaluation Philosophy

It has sometimes been said, with apparent conviction, that it is impossible to evaluate External Affairs. We disagree. Not only is it feasible, but it is highly desirable (quite apart from central agency direction to do it). On the other hand, it seems apparent that the opportunities for full effectiveness evaluations are fairly limited. Parts of the more operational programs may be appropriate for effectiveness evaluations, but in general the utility of this approach would appear restricted to support programs such as Communications. Part of the problem is methodological; many programs simply are not amenable to evaluation in rigorous, quantitative terms. Another large problem is cost. In many cases even if a methodology could be developed, the cost would be unacceptable.*

Much of the potential value of evaluation, particularly in the "softer" areas of the department, would therefore appear to lie in the conceptual evaluation approach, emphasizing clarification of objectives and roles, conceptual modelling of program processes, outputs and effects, the study of major issues, and consideration of basic alternatives for program design.

b) Scope

Program evaluation has sometimes been described as looking critically at a particular program from the perspective of the world outside, in place of the reverse perspective generally adopted by program management

To conduct a program evaluation one therefore has to go outside a particular program to assess the perceptions held of it by its customers or clientele, and to

* Examples of these situations may be found in the attached Evaluability Assessment reports.

attempt to assess the effects on its environment. For most program components in External Affairs, this means that the design of the evaluation must take the evaluations outside headquarters to some appropriate combination of posts abroad, other government departments, other institutions, and the public at large. The evaluators need not physically visit all such outside interest groups, of course, but they must have access to all necessary information from them, and a personal visit to at least some (preferably on a statistical sampling basis) often pays significant dividends.

c) Priorities

Much of the senior management interest and much of the methodological challenge in conducting evaluations within External Affairs is likely to involve foreign policy oriented components. This notwithstanding, it is our conviction that greater benefits from evaluation in terms of both increased effectiveness and possible resource savings, will come from the better defined, sharp and operational programs such as Public Affairs and most especially from the larger support programs such as Communications and Physical Resources.

d) The Evaluation Plan

The proposed Evaluation Plan and a description of the assumptions and process by which it was derived are discussed in Chapter Four. This plan is intended to serve as the foundation of the evaluation function yet it is also expected and desirable that it be dynamic and flexible. The Director of Evaluation should review the plan regularly, amending it as necessary to reflect experience with previous evaluations, changing management priorities, and other factors.

e) Evaluation Methodology

It is worth repeating that there is no such thing as a standard evaluation methodology. Behind every successful evaluation lies a tailor-made evaluation design, carefully framed in the context of a particular program, purpose, scope, desired methodological rigour, and cost. The different types of evaluation, and wide diversity of possible applications preclude any mass production approach. There is also a broad range of evaluation techniques available, running from "soft" qualitative assessments emphasizing conceptual analysis of alternatives, and the study of issues, to "hard"

quantitative analyses of program effectiveness based on large quantities of empirical data.

It must also be recognized that for certain programs it may be technically impossible to obtain in-depth, quantitative answers or measures of some evaluation questions. In other cases, while it may be technically feasible, it may be managerially undesirable to commit the resources necessary to obtain higher levels of exactness and objectivity. Similarly there simply may not be enough time to develop and implement an evaluation design with an otherwise desirable degree of technical rigour. This does not imply that there is no feasible (softer) evaluation technique which will provide useful insights into the program and its effects, and give at least partial answers to the more difficult questions that one might otherwise prefer to address by more quantitative, objective methods. To quote from an April 1979 speech by the Comptroller General to the Management Consulting Institute,

"One must not let the best be the enemy of the good. The ideal program evaluation, conducted with perfect data, and enough resources and adequate time will not often be possible in the hurried, hassled Public Service environment."

Notwithstanding the above comments on evaluation methodology, there are on the other hand a number of common features of the evaluation process that will contribute to the success and usefulness of EAP. These are discussed below.

f) Evaluability Assessments

As discussed in the next chapter, we are committed to the principle that all evaluations should be preceded by a short evaluability assessment. The main purpose of this preliminary study is not to question "if" a program component is evaluable, but rather to assess the degree to which it is technically evaluable, and to develop the outline of a recommended evaluation design and possible alternatives. In a sense, one is merely identifying, as a discrete task, the planning elements of any evaluation that would eventually have to be done as the front-end of the evaluation. Performing the assessment well in advance of a proposed evaluation (at least many months, and possibly as much as a year) permits one to plan and schedule the necessary evaluation resources, and to develop an appropriate evaluation design in cooperation with the program managers involved.

A guideline for conducting Evaluability Assessments is attached as Appendix C.

g) Program Management Involvement

A program evaluation is generally conducted for a client who sits at least one level up from the program itself. Often the prime client is the Deputy Head. If the findings and recommendations of the evaluation are to be credible and useful, then the "external" perspective of the program that is developed by the evaluators must be realistic, and capable of reconciliation with that of the program management. The design of the evaluation should also attempt to address, if at all practical, specific concerns or issues of program managers.

Consequently, program managers must be involved in evaluations, and preferably right in the evaluability assessment stage. They should be offered the opportunity to contribute to the evaluation design, and every reasonable effort should be made to obtain their concurrence with the proposed Terms of Reference for the evaluation.

During the execution stage of the evaluation, the evaluation team should strive to develop and to maintain a close working relationship with all levels of program staff. As a minimum, program management should be asked to appoint a part-time co-ordinator, at a fairly senior level, to assist in data collection activities, to provide insight and to exchange views. Particularly for larger evaluations, it is also desirable to second a person from the program staff, whenever possible, to act as a full team member (possibly on a part-time basis). Such individuals, however, should be selected carefully to ensure that their background, skills, and interests would contribute to the evaluation.

h) Organization and Resources

There is no standard organization for the program evaluation function among government departments, nor is there a standard approach to resourcing evaluations. In the current organizational form within External Affairs, Evaluation and Internal Audit are independent

activities both reporting to the Head of EAP, who in turn reports to the Under Secretary in his capacity of Chairman of the Evaluation and Audit Committee. This reporting relationship, in our opinion, conforms with the basic principles of independence of the evaluation function from program management, and direct responsibility to the Deputy Head.

The question of resourcing the evaluation program has been answered in a great variety of ways by various departments. It is a particularly difficult question for External Affairs because of its unique operating environment, the established practice of rotational staffing, and the perceived lack of any professional program evaluation experience within the department.

Stated concisely, our opinion of the preferred approach to resource the evaluation function combines a nucleus of evaluation officers with an initially substantial but declining complement of professional expertise contracted (or otherwise obtained) from outside sources. In the short term, the contracted resources would be used to provide the initial evaluation thrust, and to guide and train EAP evaluation staff in the design and execution of evaluations. As skill levels build up within EAP, and evaluation staff thus becomes more efficient, progressively less reliance on external resources will be necessary.

It follows, however, that if this approach is to be successful at least some evaluation staff must be designated non-rotational. Evaluation, in our opinion, is no less a specialized field than internal audit or management consulting or other "professional" groups within the department. It is imperative that EAP obtain or train evaluation officers with appropriate background and skills in program evaluation principles and practices (e.g. evaluation design, conceptual modelling, survey design, benefit/cost analysis, statistics, etc.)*

i) Evaluation Results

The evaluation process is often useful in itself, by virtue of encouraging managers to question assumptions and alternatives more deeply than they might otherwise, clarifying objectives, and producing other such desirable by-products. The greatest value arising from an evaluation, however, is most often obtained through program design changes brought about in response to its

* This subject is discussed in greater length in Chapter Five.

findings and recommendations. It follows, therefore, that there must be a formal mechanism in place to ensure that desirable responses or changes actually take place.

The first step in this process should be to debrief the responsible manager(s) on the evaluation results. This may best be accomplished by a presentation/briefing session to discuss the findings and recommendations, or by providing the manager a copy of the draft report and meeting to discuss it subsequently. Any error of fact or inference in the draft report should be corrected, and every reasonable effort should be made to secure a consensus on all significant issues that may arise; failing this, differences of opinion should be noted in an Appendix to the final report.

The final report should then be presented by the Head of EAP to the Under Secretary, in his capacity as Chairman of the Evaluation and Audit Committee. Copies should also be provided all permanent members of the Committee. Any further distribution should be at the discretion of the Chairman.

Responsibility for determining and implementing appropriate action(s) in response to the evaluation report should rest with the line or staff management involved. On the other hand, direction on unresolved issues, or any other related matter, may be provided by the Chairman of the Committee. As a necessary follow-up procedure, the manager of a program component should provide to the Committee, within a reasonable time period (say two months), a brief report indicating actions taken or proposed with respect to each recommendation.

It is desirable, in fact essential, that EAP play no role (except perhaps an advisory one) in the decision making/implementation process. None the less, it should monitor the status of its recommendations periodically, until all action is complete.

j) Need for Coordination

There are several types of coordination and liaison that must be maintained by EAP if it is to obtain

maximum efficiency and utility from its evaluation efforts. Each is discussed briefly below:

i) Coordination with Audit

It is clearly desirable to coordinate evaluation and internal audit plans to the extent that is practicable. Particular attention should be paid to the possibility and desirability of combining a financial audit with an evaluation for some components, and to substituting an operational audit for an evaluation on a small number of components where this may be appropriate (e.g. Financial Services).

ii) Coordination with ICERIS

The possibility exists that ICERIS post inspections could perform at least a portion of the data collection task for certain evaluation. In our opinion the opportunities are likely to be rather limited. They should nevertheless be investigated, in the context of particular evaluation designs and their specific data requirements and timeframes.

In the longer term, the possibility of inter-departmental evaluations of particular country programs, conducted under the aegis of ICER, should be pursued. This subject was discussed earlier in the chapter.

iii) Coordination with Central Agencies

Lastly, active liaison should be maintained with central agencies involved with program evaluation, particularly the Comptroller General. To a lesser extent, contacts with regular evaluation functions in other foreign service departments should also be developed. Many purposes are served by such "power group" association, but most notably EAP should thus be kept abreast of the still evolving expectations of central agencies with respect to evaluation, and of the practices and programs of other departments in this area.

3. EVALUABILITY ASSESSMENTS

3.1 THE EVALUABILITY OVERVIEW

Two types of evaluability assessment were conducted during this study. Essentially similar in purpose and approach, they differed only in scope, level of detail, and involvement with program managers.

As noted previously, one of the cornerstones in the development of a preliminary evaluation plan was a quick, "overview" evaluability assessment of the entire department. The prime purpose was to assess, at least in a preliminary fashion, the extent to which various parts and programs of the department were evaluable, and to develop some appreciation for the magnitude of the evaluation task.

The four basic inputs to the evaluability overview were as follows:

- a) an evaluability assessment methodology developed by the team (similar to that employed by the Comptroller General's Task Force on Evaluability);
- b) an initial set of evaluation components covering all departmental programs;
- c) basic descriptive information on important attributes of these program components likely to affect evaluability (obtained from a wide variety of documents, notably those produced for the Fall 1979 Manpower Review); and
- d) the collective knowledge, experience, and judgement of the evaluation team.

A copy of the "Evaluation Component Description" form developed to summarize pertinent descriptive information is attached as Appendix D. For the future, a catalogue of these component descriptions should be kept by the evaluation unit and updated or extended as resources permit and new information becomes available. This catalogue will become richer as detailed evaluability assessments are carried out.

The essence of the approach used to conduct the availability overview was the collective assessment by team members of each of the evaluation components against a set of evaluability criteria. This was a seminar type of exercise, led by the consultants, with participation of all EAP staff to varying degrees.

The initial assessment of each component individually was followed by a second stage, in which the components were comparatively reassessed, and in some cases, redefined organizationally along more homogeneous program lines.

The prime tool used during the exercise was the "Evaluability Profile", samples of which may be found in the attached* Evaluability Assessment reports. Each component was first assessed against each of six evaluability factors, namely:

- (a) clarity of objectives;
- (b) nature of the process;
- (c) operational outputs;
- (d) perceived effects;
- (e) availability of data; and
- (f) the minimum desirable evaluation scope in terms of the "clientele" served.

For each factor, one of three descriptors, arranged left to right in increasing order of difficulty of carrying out a full effectiveness evaluation, was selected as most appropriate. In most cases, the selection of a descriptor was necessarily subjective, determined by discussion leading to consensus.

Circling descriptors in this manner, for all factors, produces a rough evaluability profile. Beginning with the assumption that all program components are amenable to a conceptual evaluation, this profile suggests whether it is also feasible to carry out either an efficiency or effectiveness evaluation.** If all or most descriptors are in the first column, then the implication is that all or a major portion of the component is (or can be) sufficiently well-defined and enough information is available (or can be collected) to carry out a full effectiveness evaluation. Otherwise, one may be constrained to a process of conceptual evaluation, at least until such time as some necessary "front-end" work has been undertaken (e.g. clarification of objectives).

* Appendices E, F and G.

** Note that this is a technical judgment only. It may be possible to conduct an effectiveness evaluation for some component, but undesirable or inappropriate for some other reason (e.g. the cost involved).

The end product of this part of the exercise was the classification of all program components into one of the following categories:

- a) recommended in whole or in part for effectiveness evaluation;
- b) recommended for process (efficiency) evaluation;
- c) recommended (at this time) for conceptual evaluation only.

Not surprisingly, in the External Affairs environment, the majority of components (notably those in the Foreign Policy Formulation and Coordination group) were deemed amenable to conceptual evaluation only. The actual totals were as follows: effectiveness 7; process 5; conceptual 16. Individual recommendations are reflected in the rough evaluation outline presented in Appendix B.

Factors other than technical evaluability also affect the development of an evaluation plan. They might be termed management or planning factors, and include such factors as the resources and special skills required for the evaluation, previous evaluations, and any constraints (such as security) that would preclude evaluation.*

Particular attention was paid during this second aspect of the overview to the need to develop, even if very roughly, an indication of the total resource requirements. As the first step in this direction, each program component was classified into one of three categories depending on the elapsed time an evaluation was estimated to take. This classification was based on implicit consideration of such factors as the type of evaluation, the nature, complexity, and diversity of activities, geographical dispersion, nature of the clientele, and the difficulty of identifying, collecting and analysing necessary data.

In this manner, each component was subjectively classed as representing a small, medium, or large evaluation, corresponding to estimated elapsed times required to conduct the evaluation of 1-3, 3-6 and 6-9 months. Of the 28 components, 14 were classed as small, 6 as medium, and 8 as large. Combined with essentially arbitrary assumptions on

* Other important factors such as management priorities and the evaluation resources available were not considered at this time.

corresponding average resource requirements for each class of evaluation, this information became an important input to the development of the evaluation plan.

A set of Evaluability Profiles has been prepared and turned over to the Director of Evaluation.

3.2 DETAILED EVALUABILITY ASSESSMENT

In addition to the evaluability overview, three program components were subjected to a more detailed and objective evaluability assessment. The prime objectives of this "second stage" assessment were to reassess in considerably more detail the extent to which these selected components are technically evaluable; to develop the broad outline of a recommended evaluation design; to provide a more realistic resource estimate based on this design; and to involve the responsible program managers in this first stage of the evaluation process.

These detailed evaluability assessments were deemed necessary for two reasons. The first and most important was in each case to facilitate the design of a subsequent evaluation that would be appropriate to the nature of the component, credible, and responsive to the concerns of the managers involved.* The second purpose was to determine, at least for a small sample, the degree of compatibility with the overview evaluability judgements that more detailed study would produce, and to obtain a set of "benchmark" resource estimates. Information derived from the latter purpose was another useful input to the evaluation plan.

The selection of the specific program components was a matter of some importance, because by implication this selection also determined in whole or in part the first three formal evaluations that would be conducted in the department. Intuitively, one was thus establishing the leading edge of the evaluation plan.

In a letter to the Auditor General (October 1978) the President of the Treasury Board listed the following criteria as those he would use in formulating priorities for an evaluation plan:

- a) importance in terms of departmental or ministerial priorities;

* Recall that an evaluability assessment is regarded as a necessary precursor to any evaluation.

- b) the relative ease of conducting the evaluations (the easiest being evaluated first);
- c) the size of the program (larger value ones to be considered first);
- d) the expected cost of the evaluation in relation to the program size.

While we agree with these ranking factors in general (they are discussed further in Chapter 4), other short term factors also seemed important in establishing the evaluation function in External Affairs. The most significant of these was the desire to demonstrate the applicability of program evaluation concepts to the "softer" foreign policy areas of the department, and to begin with a balance of both purely conceptual and, at least partly, effectiveness evaluations.

Based on these considerations, and emphasizing management priorities, the following three program components were selected by the Evaluation and Audit Committee for detailed evaluability assessments:

- (a) Foreign Policy Formulation and Coordination:
 - United Nations Affairs;
- (b) Consular Services; and
- (c) Public Affairs Abroad.

The approach taken in each case was based partly on the review of all existing documentation pertaining to the program component, and partly on a series of semi-structured interviews with both the managers involved and the responsible Assistant or Deputy Under Secretary.

Each assessment was conducted by a small team consisting of one consultant and one or two EAP staff. The major tasks, in addition to developing a better understanding of the program component in terms of its important elements (objectives, activities, outputs, perceived effects etc.) were as follows:

- a) reassessing the evaluability profile;
- b) identifying a small number of alternative approaches to the evaluation in terms of method and scope;
- c) developing a broad outline of the recommended evaluation design;

- d) estimating the resources, skills and timeframe necessary;
- e) writing a brief Evaluability Assessment Report documenting the findings, recommendations, and some alternatives.*

The resulting Evaluability Assessment reports are attached as Appendices E, F, and G. Each has previously been reviewed by the appropriate Director General(s), as an integral part of the evaluability assessment process. Important provisions contained in these reports are summarized in Table 1, below.

* A set of guidelines for conducting evaluability assessments is attached as Appendix C.

TABLE 1

Summary of Detailed Evaluability Assessments

| Component | Evaluation Type | EAP Person-weeks | Prof. Services (\$000) | Travel (\$000) | Total (\$000) | Elapsed Time (mths) |
|-----------------------------|------------------------------|---------------------|------------------------------|-------------------|------------------|---------------------------|
| U.N. Affairs | conceptual | 24 | 25 | 7 | 32 | 5 |
| Consular Services | conceptual/ effectiveness | 30 | 60-80 | 10 | 70-90 | 9 |
| Public Affairs Abroad | conceptual/ effectiveness | 32 | 65 | 12 | 77 | 9 |

4. THE EVALUATION PLAN

4.1 PURPOSE

One of the initial milestones in the development of an evaluation function is the production of an evaluation plan. Preparation of such a plan enables one to develop an appreciation of the magnitude and nature of the evaluation task, and to make a preliminary estimate of the resources which will be required to conduct it. The plan itself serves as a guide for carrying out an evaluation program as well as demonstrating to the Comptroller General and Auditor General that the evaluation program is properly launched.

The initial plan is likely to change over time, not simply to add in new years with the passage of time, but also as a result of shifting departmental interests and priorities accompanied by changing evaluation perceptions gained through carrying out further evaluability assessments and the evaluations themselves. There is no irrevocable commitment to carry out the plan as initially formulated, but rather the plan will act as a guide. It is intended to provide management with the first formulation of an organized evaluation approach, and a commitment to the first few years of the evaluation effort.

It is recognized that a higher, policy level, group of evaluations may also be desirable. These studies would be directed at the major objectives and policy thrusts of the department rather than focussing on the impacts of particular components. This might include, for example, consideration of the balance between bilateral and multilateral pursuit of foreign policy objectives. Such questions lie outside the operating framework of EAP as currently perceived.

4.2 APPROACH

4.2.1 Introduction

The groundwork for producing the plan has been described earlier in the report. This includes the subdivision of the departmental program into suitable evaluation components, and conducting the initial evaluability assessments. As a result of this work, the probable evaluation type and a rough time estimate were produced (recorded in Table 4 of Appendix B). Moreover, other basic data were collected, including the probable scope of evaluation (recorded in the evaluability profiles on file in EAP) and resources applied

(displayed in Appendix B) for each program component. This chapter describes how the groundwork was built upon to reach an initial evaluation plan.

A priori, the following elements were deemed important in drawing up the plan:

- technical evaluability;
- management priorities;
- relative costs of the program and the evaluation;
- anticipated constraints;
- resource requirements versus availability;
- existing evaluation mechanisms; and
- the complementary audit plan.

All these elements were considered in drafting the plan. The way they were taken into account is described below.

There is a certain degree of overlap and interaction among these factors. Some were implicitly taken into account, whereas others were considered using a formal quantitative process. The fact that interaction occurred makes a linear presentation of the process of drawing up the plan somewhat difficult. At times, results are anticipated which are not discussed in detail until further in the report. The aim is to show the influence of all factors where they occur, even if more appropriate elsewhere.

In general terms, the method can be described as follows. First of all, the components are screened to eliminate any which appear to be undesirable in terms of constraints or other considerations. The remainder are sorted in order of desirability, using the criteria of technical evaluability and management priorities. Subsequently resource requirements are estimated for each component. Then the components are slotted in an evaluation schedule according to resource availability, taking into account the audit plan, previous parallel studies and other constraints. The result is the draft evaluation plan.

4.2.2 Screening

There were 28 components identified in an analysis of departmental programs (as recorded in Table 1 of Appendix B). Of these two components were considered unsuitable for evaluation from the start (Ref. 27 and 28) and the component list was drawn up with these at bottom. The remainder of the list has been retained as its elements cannot be eliminated on a priori grounds.

The first of the unsuitable components, Intelligence and Security (Ref. 27), was excluded because of the nature of the program. This program is concerned with the collection and analysis of extremely sensitive information and the evaluation team was convinced security considerations would preclude evaluation of this component.

The second of these, Senior Management and Staff (Ref. 28), is really a catch-all for a variety of smaller components. Included within it are the Interdepartmental Committee on External Relations Secretariat and its Inspection Service. These act interdepartmentally rather than departmentally and are thus beyond the pale of internal evaluation. The evaluation unit EAP is also included, and cannot be subject to self-evaluation. The rest of the component consists of senior staff advisors, senior line management and their office staff together with the departmental staff of the minister. This latter group was also eliminated from evaluation because their broad and shifting responsibilities defy coherent consideration in program terms.

4.2.3 Sorting

The key factors in determining desirability of evaluations are the technical evaluability (i.e., ease of evaluation) and the management priority. Of these, management priority should have precedence, and this was used as the key factor in sorting. After ranking the components according to priority, the ease of evaluation was used to rank components of equal priority.

An index for technical evaluability was produced from profiles of the components produced in the initial evaluability assessments. These profiles are on file in EAP. Examples of profiles can be seen in section 3 of the detailed evaluability assessments in Appendices E, F and G.

In the profile, factors are rated in descriptor columns. The descriptors are ranged in order of ease of evaluation from left to right. That is, the further the profile is to the left, the more the evaluation is facilitated. To capture this in numerical terms, numbers were associated with each column for each factor, weighted according to the importance of the factor in evaluation. Scope was also taken into account. An integer in the range 1-5 was thus assigned to each component to roughly indicate the ease of evaluation; the lower the index, the easier the evaluation.

Each factor was scored according to how the profile overlapped the columns (take the average of the numbers in the profile circle for each factor) and the scores added to get a total score. An index was then assigned according to where the total fell in five mutually exclusive intervals of numbers covering the range of totals. The resultant indices are shown in Table 2.

Two different facets of management priority were considered and combined to get an overall index of priority. The first of these was the expressed priority of senior management in terms of their concerns. The second was the size of the program as an indication of potential evaluation payoff. The first was based on a poll of the Audit and Evaluation Committee, whereas the second was based on the dollar resources associated with the program.

An index for management concern was produced by accumulating the responses to the poll. Each committee member was presented with a component list and asked to classify the components into high, medium and low priority (indicated by 1, 2 or 3 respectively) based on concern and perceived payoff. It was indicated that size would be independently included in obtaining the overall priority, so it was not to be of major consideration to committee members. The numbers produced by the committee were added for each component and an integer index in the range 1-5 assigned proportional to the sum. This index is given in the management concern column of Table 2.

The size index was computed based on the total resources devoted to the program. The operating rule of thumb used to produce the index was that a program should increase by one in priority as they double in size. In particular, programs with total associated resources between 32 and 64 million were given index 1; between 16 and 32 given index 2; between 8 and 16, index 3; etc. Large size gives a low index and corresponds to high priority, since the potential for resource savings is higher for programs with greater resources. The size index is also shown in Table 2.

The concern and size indices were added to get an overall priority indicator (also shown in Table 2). In most cases this was adopted as the priority index. A few program components, especially Geopolitical, UN, Consular and Public Affairs: Abroad had identifiable post resources which could be more or less directly associated with the component. In such cases, the post resources were added to see if they would shift the overall size index. Only the Consular Services component was significantly affected; in this case, post resources are more than four times those at

TABLE 2

Ranking Factors for Evaluation Plan

| <u>Ref. No.</u> | <u>Component</u> | <u>Ease of Evaluation</u> | <u>Management Concern</u> | <u>Size Index</u> | <u>Concern & Size</u> |
|-----------------|---|---------------------------|---------------------------|-------------------|---------------------------|
| 1 | FPFC: Geopolitical | 4 | 2 | 3 | 5 |
| 2 | FPFC: Economic & Technological | 4 | 2 | 3 | 5 |
| 3 | FPFC: United Nations Affairs | 2 | 3 | 1 | 4 |
| 4 | FPFC: Commonwealth Institutions | 3 | 5 | 5 | 10 |
| 5 | FPFC: Francophone Institutions | 3 | 5 | 4 | 9 |
| 6 | FPFC: Federal-Provincial | 4 | 1 | 8 | 9 |
| 7 | FPFC: Disarmament | 4 | 4 | 8 | 12 |
| 8 | FPFC: Defence Relations | 3 | 3 | 4 | 7 |
| 9 | Passport | 1 | 3 | 3 | 6 |
| 10 | Consular Services | 1 | 2 | 6 | 8 |
| 11 | Protocol | 2 | 4 | 5 | 9 |
| 12 | Legal Affairs | 3 | 2 | 6 | 8 |
| 13 | Public Affairs: Abroad | 2 | 1 | 3 | 4 |
| 14 | Public Affairs: Domestic | 2 | 3 | 6 | 9 |
| 15 | Undersecretarial Staff Support policy | 5 | 4 | 8 | 12 |
| 16 | Executive Information Services | 2 | 4 | 9 | 13 |
| 17 | Archives: Historical Research | 1 | 5 | 8 | 13 |
| 18 | Archives: Library Services | 2 | 3 | 7 | 10 |
| 19 | Archives: Records and Support Services | 1 | 2 | 4 | 6 |
| 20 | Communications Services | 1 | 1 | 3 | 4 |
| 21 | Physical Resources: Property | 1 | 1 | 2 | 3 |
| 22 | Physical Resources: Materiel | 1 | 2 | 5 | 7 |
| 23 | Personnel: Staffing, Classification and Training | 3 | 1 | 3 | 4 |
| 24 | Personnel: Staff Relations | 2 | 4 | 2 | 6 |
| 25 | Financial Services and Control | 1 | 2 | 5 | 7 |
| 26 | Management Advisory Services | 3 | 3 | 6 | 9 |

post resources are more than four times those at headquarters. To compensate for this, the priority index for Consular was decreased by 2, in effect doubling its relative priority. This was the only variant.

The components were then rearranged in desirability of evaluation, first of all using the priority index, and within classes of equal priority, the ease of evaluation index. For example, component 21 was most desirable with priority index 3. Components 3, 13, 20, and 23 all had priority index 4, with ease of evaluation indices 2, 3, 1 and 3 respectively. Thus they were ranked after component 21 in the order 20, 13, 3 and 23. The decision between 13 and 3 was resolved using the management concern index, since priority and ease were tied. Systematic use of this procedure produced the ranking of Table 3.

4.2.4 Resource Considerations

In the evaluability assessment, only a rough elapsed time indicator was produced. Rather than anticipating the work of future detailed evaluability assessments, it was decided to try to associate a rough measure of the number of person-weeks necessary to carry out the evaluation based on a simple conversion from estimated elapsed time. This was thought to be sufficiently accurate for planning purposes.

The key to going from elapsed time to required person weeks was obtained from the three detailed evaluability assessments. Two of these assessments had projected times of 6-9 months. Looking at the resource estimate, taking new staff productivity into account (see Chapter 5), there were about 60 person-weeks of fully productive evaluation effort required. Similarly in the third assessment, a 3-6 month time required a fully productive effort of about 30 person weeks. A subjective estimate of 12 person-weeks was used for 1-3 month estimated times. These figures were considered representative and applied to Table 4 in Appendix B to produce the person week estimates in Table 3.

The sum of the workload estimates for all components is 756 person-weeks. In addition, each evaluation will be preceded by a detailed evaluability assessment. Allowing an average time of three weeks to carry out such an assessment, another 75 person-weeks of effort are required to cover all of them. Thus a total of about 830 person-weeks of effort is required to perform one cycle of evaluation in the Department.

TABLE 3

Preferred Order of Evaluation of Components
(Top to Bottom)

| <u>Ref. No.</u> | <u>Component</u> | <u>Priority Index</u> | <u>Resource Estimate (PW)*</u> |
|-----------------|---|-----------------------|--------------------------------|
| 21 | Physical Resources: Property | 3 | 60 |
| 20 | Communications Services | 4 | 60 |
| 13 | Public Affairs: Abroad | 4 | 60 |
| 3 | FPFC: United Nations Affairs | 4 | 30 |
| 23 | Personnel: Staffing, Classification and Training | 5 | 30 |
| 1 | FPFC: Geopolitical | 5 | 60 |
| 2 | FPFC: Economic & Technological | 6 | 60 |
| 10 | Consular Services | 6 | 60 |
| 19 | Archives: Records and Support Services | 6 | 12 |
| 9 | Passport | 6 | 30 |
| 24 | Personnel: Staff Relations | 6 | 30 |
| 22 | Physical Resources: Materiel | 7 | 60 |
| 25 | Financial Services and Control | 7 | 30 |
| 8 | FPFC: Defence Relations | 7 | 12 |
| 12 | Legal Affairs | 8 | 12 |
| 14 | Public Affairs: Domestic | 9 | 30 |
| 11 | Protocol | 9 | 12 |
| 26 | Management Advisory Services | 9 | 12 |
| 5 | FPFC: Francophone Institutions | 9 | 12 |
| 6 | FPFC: Federal-Provincial | 9 | 12 |
| 18 | Archives: Library Services | 10 | 12 |
| 4 | FPFC: Commonwealth Institutions | 10 | 12 |
| 7 | FPFC: Disarmament | 12 | 12 |
| 15 | Undersecretarial Staff Support: Policy | 12 | 12 |
| 17 | Archives: Historical Research | 13 | 12 |
| 16 | Executive Information Services | 13 | 12 |
| | TOTAL | | 756 |

* PW is an abbreviation for person-weeks. This estimate is the combined productive effort required by EAP officers and evaluators.

In the near term, it appears that the staff level devoted to this function will comprise three people, a director and two evaluators. This will have to be bolstered from time to time by outside consulting resources with specific technical expertise. After an initial training period, approximately 146 productive weeks of evaluation annually are projected for the evaluation function (see Chapter 5 for further details).

Dividing the total effort required (830) by the annual steady-state supply (146), six years are required to complete one evaluation cycle. The OCG had suggested a 3-5 year cycle, to ensure that components would not languish too long without evaluation. Although six years is slightly longer than suggested by the OCG, it is not so long as to contravene the intent of the guideline. The only way to shorten the cycle is to apply more resources. In this time of restraint, it seems more advisable to lengthen the cycle.

Of course, it may happen as a result of a detailed evaluability assessment that certain components are better left without evaluation. This would occur, for example, if the cost of a worthwhile evaluation exceeded any conceivable pay-off, which might well be the case for some of the components with low associated resources. Such components could be deleted from the plan and the schedule revised accordingly. This would have the effect of reducing the cycle time.

In the first couple of years of the plan, it will be necessary to supplement EAP resources with outside consultants, since EAP staff will be learning the job and therefore not yet fully productive. The amount of outside expertise required is expected to decrease over time so that by the third year it is at a minimum.

4.2.5 Scheduling

Now that the components have been ranked in order of desirability of evaluation and the resource assumptions have been laid out, it is possible to draw up an evaluation schedule. The general principle is to proceed from the top of the desirability list selecting components for each year, accumulating the resources until the annual supply is exhausted. Residual resources are then carried to the next year and components selected similarly. However, there are some other factors which can influence the application of this general principle.

One such influence is the pattern of recent evaluation-related studies of the component. The pattern of such studies would influence the schedule in two ways. If a component had a pattern of several thorough in-depth studies, then it should probably have a respite before undergoing detailed evaluation. On the other hand, some such study might point directly to further issues and concerns which could be incorporated in an evaluation. If program managers are keen on follow-up, then an evaluation could be pushed forward in the plan.

The theoretical considerations of the previous paragraph have little practical impact on the initial evaluation plan. Most studies which have been undertaken have had a more restricted focus than that of program evaluation. Others have had a broad perspective, but depend too much on insufficiently substantiated assumptions. These studies are useful background for program evaluation but are not considered to be comprehensive enough to defer it. The only component which has been subject to a great deal of recent objective scrutiny is Passport, and this has sufficiently low priority not to be evaluated for a few years anyway.

The only current study identified which could interfere with evaluation of the most desirable components is the commission chaired by Louis Applebaum looking into cultural affairs policy. In order to coordinate the Public Affairs: Abroad evaluation with the commission studies, the evaluation should be deferred until at least the middle of the 1980/81 fiscal year. This will allow the evaluation team to assess the possible areas of overlap between the two studies in order to design the evaluation to minimize this overlap, and take full advantage of the commission studies.

The evaluation plan and the audit plan should be coordinated to avoid needless repetition of data collection and excessive interference with operating functions. Also, in practice the boundary between internal audit and program evaluation can be somewhat fuzzy. The working rule of the evaluation team is that audit should generally precede evaluation. The reasoning behind this rule is that the data collected in audit may be useful for evaluability assessment and the evaluation can focus on those issues which were not fully addressed in the audit. Although the audit plan is not completely developed, conversations with the Director of Internal Audit suggest that the Personnel and Property areas are likely subjects of initial comprehensive audits. Since these are not candidates for the first year evaluation, it appears that the working rule can be applied at the front of the plan. As the audit unit becomes fully staffed and a

better audit plan emerges, the evaluation plan can be adapted for better co-ordination with the audit plan. Experience may also suggest that audit and evaluation would be carried out better simultaneously, rather than in tandem, leading to revision of the working rule.

Another factor that could cause a problem at evaluation time are constraints imposed by the activity pattern in the component. For example, extensive interviews should perhaps be avoided at seasonal peaks of activity. Developments on the world scene could demand the total attention of certain components at times. Also, after re-organization in the department, affected components might better be left alone until the teething problems are over.

4.2.6 The Evaluation Plan

The evaluation plan for the second and subsequent years of the cycle has been derived using the considerations of the preceding section on scheduling. For the first year, additional factors are important, such as covering a broad range of types of components and putting greater emphasis on ease of evaluation to maximize the likelihood of initial success. These additional factors were used in the selection of the three components for initial evaluability assessment and these three components are those suggested for the first year of the plan.

The plan schedule is presented in Table 4. The schedule drawn up is for a six year cycle. It is a relatively routine matter to draw up a shorter cycle schedule, based on an assumption of greater resource supply, using the same principles and information. Table 4 shows how many person-weeks of effort are to be applied to the evaluation at each particular component in each year of the plan. Note that an allowance has been made for evaluability assessment in the plan (bottom row); this ensures that the assessment can be carried out prior to evaluation.

The plan is much more comprehensive than Table 4. Table 4 is just the cumulation of the development work in the form of a time and resource schedule. The plan includes the proposed type and probable elapsed time for evaluation given in Appendix B. It also includes the projected scope of evaluation for each component, which is given in the evaluability profiles (not included in the report). Even the division of departmental activities into program components is part of the plan.

TABLE C

Evaluation Schedule (Person-Weeks/Year)

| Component | Fiscal Year | | | | | |
|--|-------------|-------|-------|-------|-------|-------|
| | 80/81 | 81/82 | 82/83 | 83/84 | 84/85 | 85/86 |
| Physical Resources: | | | | | | |
| Property | | 60 | | | | |
| Communications Services | | 60 | | | | |
| Public Affairs: Abroad | 40 | 20 | | | | |
| FPFC: United Nations Affairs | 30 | | | | | |
| Personnel: Staffing, Classification and Training | | | 30 | | | |
| FPFC: Geopolitical | | | 60 | | | |
| FPFC: Economic and Technological | | | 40 | 20 | | |
| Consular Services | 60 | | | | | |
| Archives: Records and Support Services | | | | | 12 | |
| Passport | | | | | 30 | |
| Personnel: Staff Relations | | | | | 30 | |
| Physical Resources: | | | | | | |
| Materiel | | | | 40 | 20 | |
| Financial Services and Control | | | | | | 30 |
| FPFC: Defence Relations | | | | | | 12 |
| Legal Affairs | | | | | | 12 |
| Public Affairs: Domestic Protocol | | | | | | 30 |
| Management Advisory Services | | | | | | 12 |
| FPFC: Francophone Institutions | | | | | | 12 |
| FPFC: Federal-Provincial Archives: Library Services | | | | | | 12 |
| FPFC: Commonwealth Institutions | | | | | | 12 |
| FPFC: Disarmament Undersecretarial Staff Support: Policy | | | | | | 12 |
| Archives: Historical Research | | | | | | 12 |
| Executive Information Services | | | | | | 12 |
| Assessments* | 6 | 3 | 12 | 9 | 18 | 21 |
| Total | 136 | 143 | 142 | 141 | 134 | 129 |

* The time for evaluability assessment is arranged so each component is assessed before evaluation. However, the assessment is sometimes carried out in the preceding year and sometimes in the same year. The latter procedure is most likely for anticipated smaller evaluations.

The long-range plan will be translated each year into the short-term via the budget forecast process. The shortterm will be translated into the immediate term using the detailed evaluability assessments to draw up terms of reference for each evaluation. The ultimate quality of the evaluation function in the department will partly depend on the general plan and how effectively it is translated from the long to the immediate term. Experience in carrying out the function will point out shortcomings in the initial plan and also indicate possible remedies and improvements.

It should be reaffirmed that the plan is only a guide to evaluation based on limited information and assumptions which have been set out above. The resource estimates may prove to be generous or inadequate when detailed assessments are made. Departmental priorities may shift drastically, new components may be born and old ones die. Control will be exercised prior to evaluations being started, and in the annual budgetary forecast process. Much better information will be available at these decision points.

Only practical experience with evaluations will prove their worth to the department. The initial plan gives a framework to "get on with the job" and gain the practical experience. It is fully expected that the plan will change as this experience is gained. The initial plan gives some guide to EAP management, and also gives a rough idea of the time frame and resource implications to senior management.

5. RESOURCES

5.1 STAFF

The nature of the staff for the evaluation unit must be discussed in two different aspects. On the one hand is the question of quality: What kind of skills and experience are useful for evaluations? On the other hand is the question of quantity: How many staff members are necessary for evaluation? An additional question relates to both aspects: To what extent can the evaluators be supplied internally, and to what extent must they be hired? This section is devoted to providing the recommended answers to these questions. Section 5.3 sets out some alternatives and their implications.

Ideally, evaluators have analytical attitudes and skills. They must have an open mind and be willing and able to conjure up and consider a range of alternative ways of carrying out the program. Preferably, they have a basic grasp of quantitative methods of program analysis. They must have an in-depth understanding of both evaluation and the milieu in which they operate (in this case, the Department of External Affairs). They should have sufficient background and experience in evaluation to have a wide range of different methods at their fingertips, and how to apply them.

A related question concerns the kind of people that External Affairs can find to act as evaluators. Of course, there is always the make or buy option; that is the skills can be supplied in-house or purchased in the form of specialist skills. The assumption that has been made here is that in the longer term, External Affairs will wish to have the evaluators as part of the permanent staff (in EAP), aided on an ad hoc basis by technical specialists when special requirements arise in particular evaluations. In the short term, it appears that outside professional expertise will be required to get the evaluation process started and to train EAP staff. Such professional services will taper off over time, leaving EAP staff to assume the leading role in evaluation.

It requires some time to build up the skills and gain the necessary experience to become a good evaluator. For this reason, the preferred type of staff is non-rotational. The working assumption in this section is that non-rotational staff will be used (or at least staff that stay in EAP for significantly longer than two or three years). The

relative advantages of using non-rotational staff are discussed further below.

In a time of growth, a good course of action would be to try to recruit experienced evaluators from outside the department, since it is easier to build up knowledge of how the department operates than evaluation skills. However, now is not a time of growth, and evaluators are in any event currently an item of great demand and extremely limited supply. The realistic assumption is that evaluation resources must be recruited from within the department.

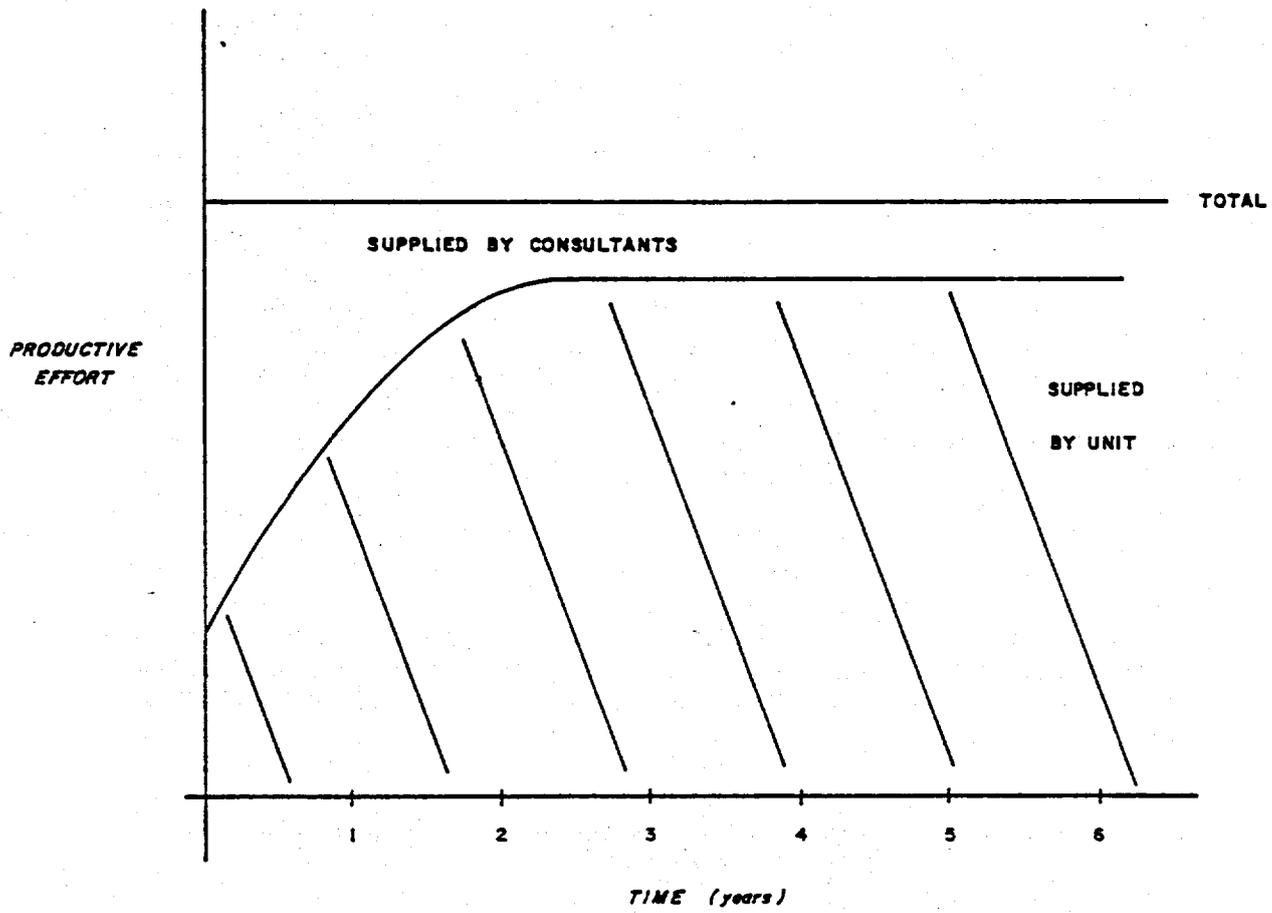
The people chosen from within the department to join EAP should have substantial experience, preferably at both headquarters and at posts, and this should include some time in policy analysis or formulation where analytical skills would have been developed. They should be open-minded and tactful, for they will be dealing with a wide range of individuals including those at various levels of management. They must also be willing to act in concert with others, for evaluation is often approached using a "team".

As well as the evaluators themselves, there may be a requirement to augment the evaluation team by other members. It may be necessary to depend heavily on program staff to explain the technical details in some programs (an example is the engineering aspects of property and material maintenance). To this end, it will be useful if managers of the component being evaluated from time to time appoint a person from their establishment to act as liaison with, as a part-time member of, the evaluation team. Program staff must play a subordinate role in the team, however, to retain the objectivity of the evaluation.

A typical productivity curve for a new evaluation unit is shown in Figure 3. This is based on the assumption of retained expertise, that is, there is no replacement of staff over the period represented by the curve. The curve shows that the productive effort rises over time until it reaches a plateau or steady-state value. Generally this productive effort will be augmented by outside professionals, retained for their specific skills. In the start-up period, much more outside help is needed to reach the steady-state total production level. This is the envisaged pattern for EAP.

The curve in Figure 3 applies to an individual evaluator as well as the total unit. It is an example of a learning curve for a job. The reduced productivity in early years has all been attributed to the learner, although it

Figure 3: TYPICAL PRODUCTIVITY CURVE
FOR A NEW EVALUATION UNIT



may in fact arise from a reduction in productivity of the consultants or experienced team members arising from the effort devoted to training the neophyte. On an individual basis, this curve implies that the overall productive effort will be below the ultimate steady state value whenever a newcomer is brought in. Frequent turnover reduces productivity of a unit, and this is the basic reason for preferring non-rotational to rotational staff.

What kind of quantitative estimates of productive effort are appropriate for EAP staff? A complement of one manager and two full-time program evaluation staff will be used as a basis for estimates, since this is the establishment that is currently proposed. A fully trained individual can be expected to have 45 person-weeks of "fully productive" effort annually (allowing for statutory holidays, annual and sick leave). A manager will need roughly 20 per cent of his time to attend to general administration, leaving 80 per cent for evaluation. The staff will devote essentially all of their productive effort to evaluation.

It is expected that steady-state productivity can be achieved in the third year. For estimation purposes, we assume that in the first year, the productive level of new staff will be 50 percent of experienced evaluators, and in the second year the level will be 75 per cent. These estimates incorporate the settling-in time of new recruits (especially if they are coming in from postings abroad) as well as the reduction due to training. The managers' level will also be reduced to roughly 70 per cent in the first year due to an increased administrative burden. The expected effort in person-weeks can be obtained by multiplying these percentages by the fully productive figure of 45 person-weeks. The results are exhibited in Table 5.

TABLE 5

Anticipated Productive Effort from EAP staff
(Person-weeks)

| Year | Manager | Two Evaluators | Total |
|--------------|--------------|-------------------|-------|
| Steady-state | .8 x 45=36 | 2 x 45=90 | 126 |
| 1 | .7 x 45=31.5 | 2 x .5 x 45=45 | 76.5 |
| 2 | .8 x 45=36 | 2 x .75 x 45=67.5 | 103.5 |

In the long term (year 3 and beyond), Table 5 shows that EAP can supply 126 person-weeks of productive effort. The estimated minimum supplementary professional assistance

in the long term is 20 person-weeks/year. This means that after the third year, roughly 146 person-weeks of productive effort will be devoted to program evaluation. This is a reasonable target for years 1 and 2 of the program. Inspection of Table 3, shows that the professional resources to meet this target will be approximately

70 person-weeks in year 1; and
40 person-weeks in year 2

The estimated total evaluation load (from Table B of the preceding chapter plus the allowance for evaluability assessments) is about 830 person-weeks. This means that nearly six years* will be necessary to carry out the cycle of evaluation. This is the reasoning behind the six-year cycle proposed in the plan.

Experience with evaluation may show that the current estimates for evaluation load are excessive, and the plan cycle time of the schedule could be reduced accordingly. Also, the anticipated benefits of evaluating certain small components may be less than the cost, and they would then be eliminated from the schedule. This would also reduce the cycle time. The estimated load figures should not be exceeded significantly in the first evaluation terms of reference (using the benefit/cost criterion) unless the assessment can demonstrate that very significant benefits are likely to be achieved. Further improvements may be anticipated during subsequent cycles of the plan.

5.2 FUNDING

What are the budgetary implications of the above proposals? The salaries of EAP staff will not be considered, since the current departmental practice is to carry all Canada-based salaries in the Bureau of Personnel budget allocation. These salary costs should be kept in mind, however, as costs of evaluation. A rough estimate for a staff of three is \$ 100,000 per year.

The anticipated costs for professional services are displayed in Table 6. These costs are quoted at current prices and will rise at about the rate of inflation. Also, they presume that 20 person-weeks is adequate for specialized technical assistance in year three and beyond. If turnover is high in the unit, additional professional resources will be necessary to bring the productive level to the target level.

* obtained from $830 \div 146 = 5.68$

TABLE 6

Estimated Consulting Costs

| Year | Consultant Effort (pw) | Costs* (\$1000) |
|---------|------------------------|-----------------|
| 1 | 70 | 120 |
| 2 | 40 | 70 |
| 3,4,5,6 | 20 | 35 |

It is expected that travel will be necessary in conjunction with many evaluations. It is impossible to objectively evaluate many programs without direct observation of the delivery points of the program.

First year travel costs have been estimated as approximately \$35,000 (in the budget forecast). Presuming that first year costs are typical, this can be used as a representative figure for subsequent years. However, due to rapidly escalating oil prices, this figure will increase much faster than inflation.

5.3 ALTERNATIVE RESOURCING POSSIBILITIES

The above estimates are based on a unit composed of two evaluators and one manager of evaluation in non-rotational positions. It is natural to ask what could be accomplished with a larger staff and what would be the impact in quantitative terms of using rotational staff. A related question is to what extent other officers, whose principal activities are not program evaluation, can be utilized for evaluation.

Instead of two evaluators in the unit, three evaluators could be employed. The manager would then have an increased administrative load assumed to be 25 per cent (rather than 20). The steady-state output of the unit would therefore be 169 person-weeks of productive effort annually*. Outside technical expertise of 20 person-weeks would still be required, so the steady-state annual output would be 189 person-weeks. Dividing this into the anticipated load shows that the work could be carried out in between 4 and 5 years.

* Based on consultant rates of \$350 per diem.

** $169 = .75 \times 45 + 3 \times 45$ (manager + 3 evaluators) under the assumptions stated in section 5.1.

Significant outside help would still be necessary in the first two years of the plan to train the new staff. Only two evaluators could be broken in in the first year. The third would be brought in in the second year. The estimated productive output and development pattern is given in Table 7.

Using the output figures from Table 7 a total of 864 person-weeks of effort would be available, so a schedule could be derived using the principles outlined in Chapter 4 to perform the necessary evaluation in five years. The outside consulting costs would be the same. Travel costs would likely rise, since more evaluation is being performed and would be approximately \$42,000 in the first year.

If evaluation is to be performed by rotational staff, evaluators must stay in the unit for at least three years. This would permit the fully productive person in the third year to initiate the most recent recruit. A minimum of three evaluators would be necessary. This is a high risk scenario, for if a recruit proved unsuited to evaluation, outside resources would have to be brought in again to assist in training (or the period of service extended to four years for some individual). It also places an extremely heavy burden on the third-year person. The manager would have an increased administration load, estimated at 30 per cent of available time. A quantitative estimate of productive effort from such a unit is presented in Table 8. In steady state, the total effort is fixed, but the designation of evaluators would change.

Table 8 shows that the steady-state output with three rotational people is only slightly greater than that with two non-rotational people (133 person-weeks of effort as opposed to 126). The outside help would have to be increased in the second year because an additional trainee is involved and no fully trained internal resource would be available for training. Another defect associated with the use of rotational staff is that there is no long-term build up of evaluation experience in the unit. This suggests that at the very least there should be one non-rotational position in the unit.

One remaining aspect of productivity worth considering pertains to the effect of rotating the manager (i.e., the director of evaluation). If the manager is rotational, then it is essential that some staff members be non-rotational. The manager has been considered a working member of the unit. If the job is defined to be a strictly supervisory function, then one additional evaluator is necessary. If

TABLE 7

Production Effort with Three Non-Rotational Evaluators
(Person-Weeks)

| Year | Manager | Evaluators 1,2 | Evaluator 3 | Consultants | Total |
|------------------|--------------|-------------------|--------------|-------------|-------|
| 1 | .7 x 45=31.5 | 2 x .5 x 45=45 | - | 70 | 146.5 |
| 2 | .7 x 45=31.5 | 2 x .75 x 45=67.5 | .5 x 45=22.5 | 40 | 161.5 |
| 3 | .75 x 45=34 | 2 x 45=90 | .75 x 45=34 | 20 | 178 |
| Steady- State | .75 x 45=34 | 2 x 45=90 | 45 | 20 | 189 |

TABLE 8

Productive Effort with Three Rotational Evaluators
(Person-Weeks)

| Year | Manager | Evaluator 1* | Evaluator 2 | Evaluator 3 | Total |
|------------------|--------------|--------------|--------------|--------------|-------|
| 1 | .7 x 45=31.5 | 5 x 45=22.5 | .5 x 45=22.5 | - | 76.5 |
| 2 | .7 x 45=31.5 | .75 x 45=34 | .75 x 45=34 | .5 x 45=22.5 | 121.5 |
| 3 | .7 x 45=31.5 | .5 x 45=22.5 | 45 | .75 x 45=34 | 133 |
| Steady- State | .7 x 45=31.5 | .75 x 45=34 | .5 x 45=22.5 | 1 x 45=45 | 133 |

* Remains only for two years initially so that the rotational cycle is established.

the manager is a working member and rotational, then it is prudent to engage additional experienced evaluation management expertise for a few months after each new appointment while the new manager learns his job.

The final question pertains to the possible use of part-time assistance in evaluation, specifically to what extent can an employee principally engaged in related tasks usefully apply any excess time to evaluation? The answer is that only experienced evaluators can guide a project successfully and the requisite experience is unlikely to be attained on a part time basis.

Certainly, part-time inexperienced help could simplify certain parts of the evaluation task; assisting in interviews, data collection and manipulation, and assistance with the technical aspects of report production. However, when these tasks occur in projects they cannot be delayed; the assistance must be available on demand. If the principal tasks of a prospective contributor cannot be delayed, the evaluator cannot hold up the evaluation. Therefore there also may be significant co-ordination problems in trying to employ as team members persons not devoted to program evaluation.

6. CONCLUSIONS AND RECOMMENDATIONS

The report has presented an initial evaluation plan and the steps leading to it. Particular attention has been given to providing a firm groundwork for conducting evaluations in the first year of the plan. Certain decisions are necessary to set the plan in motion. Recommendations to this end are presented below.

6.1 RECOMMENDATIONS RE THE PLAN

This section presents four recommendations relating to approval of the overall evaluation plan and its further development. The recommendations are set out accompanied by explanatory comment when the latter seems appropriate.

Recommendation 1:

It is recommended that this general principle of coverage be approved, namely that all components of the department, both operational and support, are suitable subjects for evaluation.

It is recognized that much of the potential for evaluation lies in the conceptual evaluation approach, given the nature of the department. Certain conditions such as small anticipated payoff compared to evaluation cost may result in the deletion of certain components from the plan after a detailed evaluability assessment. Other considerations may also give rise to deletion of a component, as in the following recommendation.

Recommendation 2:

It is recommended that the reasons for excluding the components Intelligence and Security (reference 27) and Senior Management and Staff (reference 28) be confirmed.

These reasons are outlined in section 4.2.2 and can be summarized as security for ref. 27 and the nature of the mandate for ref. 28.

Recommendation 3:

It is recommended that the draft plan presented be accepted.

This is the plan with a six-year cycle whose schedule is presented in Table 4. As noted above, certain items may be dropped, which will result in a shorter cycle time. The cycle time will also depend on the level of resources applied.

Recommendation 4:

It is recommended that the implementation of the plan be monitored and that modifications be made to the plan according to operational experience and management priorities.

6.2 RECOMMENDATIONS RE RESOURCES

This section contains recommendations concerning the staff and dollar budget required to carry out the evaluation function in the department. These recommendations should be considered taking into account the implications of the various resource alternatives discussed in Chapter 5.

Recommendation 5:

It is recommended that the staff for evaluation include a program evaluation manager and at least two program evaluators, and that two of these three positions be non-rotational.

It is essential that at least one staff member be non-rotational, prudent if two are non-rotational and desirable that three are non-rotational. Recall that in general, the total productivity of the unit is proportional to the percentage of non-rotational staff.

Recommendation 6:

It is recommended that the principle of utilizing a decreasing proportion of outside professional resources in the first few years be accepted.

This is a special case of the complementarity of people and dollars. In the long term, professional expertise in evaluation will exist in the unit. In the short term, outside help will be needed for training and to get evaluations

started. Of course, there will always be a limited requirement for outside professional help.

Recommendation 7:

It is recommended that staffing of the program evaluator positions take place as quickly as possible.

To maintain credibility in the eyes of central agencies, evaluation should commence shortly after the approval of the plan. To take maximum advantage of the outside consultants for training, evaluators should be recruited as quickly as possible. Otherwise outside consultants will have to be retained for a longer period than envisaged which has significant budget impact.

6.3 RECOMMENDATIONS RE IMPLEMENTATION

These recommendations pertain to starting up evaluation in line with the findings of the detailed evaluability assessments. This will compose the first year of the plan.

Recommendation 8:

It is recommended that approval in principle be given to conduct evaluations of the Consular, FPMC: United Nations Affairs and Public Affairs: Abroad programs in that order.

The actual evaluations will not commence until the terms of reference have been drafted and submitted to the Audit and Evaluation Committee for approval. The consular and FPMC: United Nations Affairs should be carried out in parallel, but the latter cannot start until EAP has sufficient staff. The third evaluation should be delayed for some time as noted in the report. Detailed evaluability assessments will be carried out as resources permit.

Recommendation 9:

It is recommended that the Evaluation and Audit Committee give direction as to the appropriate design for evaluation for the three selected components.

Each of the detailed evaluability assessments has a recommended design together with a set of alternatives. Approval is needed for the recommended design or a

selection made from the alternatives in order to draft terms of reference for the evaluation.

Recommendation 10:

It is recommended that sufficient dollar resources be provided to carry out evaluation of the three related components.

If the recommendations of the detailed assessments are accepted, then the anticipated costs would be about \$157,500 for professional services and \$29,000 for travel. Most of this would be expended in fiscal 1980/81 with some spillover into the subsequent fiscal year.

6.4 RECOMMENDATIONS RE PROCESS

The remaining recommendations pertain to the process for carrying out the evaluation process. They are important determinants of the success or failure of evaluation. The issues involved are discussed in detail in section 2.3.

Recommendation 11:

It is recommended that the principle that the scope of evaluation extends outside the program itself and includes gathering data from program delivery points be accepted.

Recommendation 12:

It is recommended that a detailed evaluability assessment be conducted prior to each evaluation and that the evaluation terms of reference be based on such an assessment.

Recommendation 13:

It is recommended that program managers be involved in all stages of evaluation to provide balance and a program perspective.

Recommendation 14:

It is recommended that the Audit and Evaluation Committee follow up with the responsible line managers implementation of results of the evaluations.

Recommendation 15:

It is recommended that continued attention be paid to coordinating evaluation and the evaluation plan with other concerned groups.

Coordination is anticipated to be required with the sister Audit unit and its audit plan, ICERIS, and the central agencies responsible for directing evaluation.

Recommendation 16:

It is recommended that the necessity of individual evaluation design for each component be recognized and that no attempt be made to straightjacket evaluation by the imposition of a standard method.

APPENDIX A

TERMS OF REFERENCE
OFFICE OF INTERNAL EVALUATION AND AUDIT
EVALUATION

A. INTRODUCTION

The Glassco Commission Report of 1962 resulted in the decentralization of managerial authority and the philosophy of "let the manager manage". The Report also placed emphasis on the concomitant need for management accountability and for management control mechanisms. In the early 1970's Treasury Board initiated operational performance measurement (OPMS) in all departments of the federal government to assist management in the accomplishment of objectives. In 1977 a new Auditor General Act broadened the Auditor General's mandate to include issues related to economy and efficiency and to report cases where procedures to measure and report effectiveness are unsatisfactory or are lacking. Treasury Board accordingly directed federal departments and agencies periodically to review their programs to evaluate their effectiveness in meeting objectives and the efficiency with which they are being administered. This involves program evaluation and internal audit functions. In 1978 the Comptroller General was made responsible for overseeing their application throughout government. The Office of Evaluation and Audit (EAP) was formed in July 1979 to implement this policy more uniformly within the department.

It should be borne in mind that the establishment of EAP is not intended to replace the ongoing self evaluation that is part of the management function. Program evaluation is, rather, intended to augment existing evaluation mechanisms and provide management with evaluations wider in scope and utilizing evaluation techniques that require resources not normally available to an individual manager.

B. DEFINITION

Evaluation is a continuing, systematic, independent appraisal of departmental programs and activities to assess their economy, efficiency and effectiveness in relation to the policies and objectives.

C. PURPOSE

The primary purpose of EAP is to provide the Under Secretary on a continuing basis with systematic, independent appraisals of the appropriateness of departmental programs and activities and of the economy, efficiency and effectiveness with which they meet objectives and goals. It also aims to encourage managers to develop evaluation techniques applicable to their operations.

D. ACCESS TO INFORMATION

The Evaluation Office will have access to all departmental personnel, documents and information relevant to the evaluation, as well as direct access to other government departments and agencies and to the private sector and the general public as required. In the event that the manager of the unit being evaluated decides that he cannot permit access to certain information the matter shall be referred to the Chairman of the Audit and Evaluation Committee.

E. ORGANIZATION RELATIONSHIPS

The Head, EAP will report direct to the Under Secretary who is in turn advised by the Audit and Evaluation Committee. This reporting relationship will assist EAP to be independent in its evaluations by being outside the organizational structure or influence of any line or staff group.

F. EVALUATION PROCEDURE

Selection of areas to be evaluated, and the schedule for evaluation are the responsibility of the Head, EAP under the general direction of the Under Secretary in his capacity as Chairman of the Audit and Evaluation Committee.

The units to be evaluated will be given advance notice of the planned evaluation time schedule and the procedure that will be followed. In the case of units that have established evaluation mechanisms those mechanisms will be reviewed and, where appropriate, will be incorporated as part of the evaluation plan.

Methodology and specific evaluation technique are the responsibility of EAP. On occasion it will be appropriate to carry out a composite audit, ie. an evaluation and financial audit combined.

G. REPORTING RELATIONSHIPS

Observations and recommendations resulting from an evaluation will, in all cases, be discussed with the manager directly responsible for the program/activity concerned.

The Head, EAP, may distribute reports directly to those concerned. As a minimum the evaluation report will be distributed to the managers directly responsible for taking action on the matters raised in the report, to their superiors, the Deputy Under Secretary (Management and Planning), and the Audit and Evaluation Committee.

II. MANAGEMENT ACTION

The responsibility for determining and implementing remedial action considered necessary as a result of the findings and recommendations contained in evaluation reports will rest with the line and/or staff management concerned.

Within 2 months after a final report is received by the unit evaluated the head of the unit will submit a report on action taken to the Chairman of the Audit and Evaluation Committee. EAP will monitor the status of its recommendations.

Evaluation and Audit (EAP)
September 10, 1979

APPENDIX B

BASIC COMPONENT INFORMATION

This appendix contains basic descriptive data about the program components for the evaluation plan, together with the initial classification of components according to probable type and length of evaluation. This latter information was an output of the initial rough evaluability assessment. The information is supplied in tabular form, introduced by a brief description of its nature and source.

Table 1 gives a list of the program components, the organizational entities engaged in carrying out the activities of each component and the staff complement (in person-years) associated with the program. The components were derived from an examination of the goals and activities of the department, as described in Chapter 2 of the report.

The staff complement was obtained from the establishment list computer printout produced monthly in the department. The particular month displayed is December 1979. The authorized person-years for each component lie somewhere between the "actual" figure and "position" figure given. Description of the staff complement is complicated in the department because of the staffing process associated with a rotational foreign service.

Table 2 shows the budgetary resources applied to each component. Salaries for Canada-based staff are contained in the budget allocation for the Personnel: Staff Relations component (Ref. 24). This allocation has been distributed among the components by multiplying monthly salaries paid in each division for December 1979 by twelve and summing the figures for the divisions contained in each component. The accumulated salary item has been removed from the operating figure for component 24.

The operating and capital budget figures for the components were obtained from the commitment and expenditure computer printout for the department. The passport program (Ref. 9) is operated on a cost-recovery basis using a revolving fund. The figures for this component have been supplied by the program management. Note again that the operating expenditure for component 24 excludes the staff salary item.

The grants and contributions were apportioned to the component which approved the payment in principle. For

example, all contributions arising as obligations of membership in United Nations agencies and component organizations are associated with program component 3 (Foreign Policy Formulation and Coordination: United Nations Affairs).

The forecast salaries, operating and capital expenditures, and grants and contributions have been added together to get a total dollar figure for the component. It is important to recall that this is not a budget total administered by the division, but it does reflect the total resources associated with the program activities.

Table 3 places the resources of the components identified in the context of overall resource allocation in the department. Because post resources are allocated in an inter-departmental framework and post programs in most cases are not directly related to headquarters organizations (in fact they may support programs of other departments), they could not be pulled back into headquarters components except where control is exercised within headquarters (as in the case of physical resources). Thus the figure for post operations comprises those budgets controlled at posts or in the regional budgetary suspense items (supplementary resource pool).

Row 6 in the table ("other") is largely composed of budgetary suspense items for headquarters and the grants in lieu of taxes paid on foreign diplomatic properties in Canada.

The totals in Table 3 differ from the program forecast figures by the dollars associated with the Passport program. The data in Table 3 have been compiled from the same sources mentioned for Table 2.

Table 4 presents the type of evaluation recommended for each component in the initial overview evaluability assessment. This is the best current collective assessment of the evaluation team, but, of course, is subject to modification with more detailed evaluability assessments.

The estimated time of evaluation was produced in the same overview and is a rough guide, also subject to refinement in the detailed assessments. Results of internal audits may also modify the recommended type of evaluation or time estimate.

TABLE 1 EVALUATION COMPONENTS
COMPOSITION AND STAFF COMPLEMENT

| Ref. No. | Component | Organizational Unit | Staff Complement (PY) | |
|----------|---|----------------------------|-----------------------|-----------|
| | | | Actual | Positions |
| 1 | FPEC: Geopolitical* | GAP, GEP, GNP, GPP, GSP | 109 | 115 |
| 2 | FPEC: Economic & Technological | EBP, ECP | 64 | 68 |
| 3 | FPEC: United Nations Affairs | UNP | 18 | 19 |
| 4 | FPEC: Commonwealth Institutions | FCC | 5 | 5 |
| 5 | FPEC: Francophone Institutions | FCF | 6 | 6 |
| 6 | FPEC: Federal-Provincial | FCO | 15 | 17 |
| 7 | FPEC: Disarmament | DPA | 10 | 10 |
| 8 | FPEC: Defence Relations | DFR | 12 | 16 |
| 9 | Passport | FPO | 352 | 539 |
| 10 | Consular Services | CSP | 33 | 35 |
| 11 | Protocol | COP | 36 | 41 |
| 12 | Legal Affairs | FLP | 37 | 47 |
| 13 | Public Affairs: Abroad | FAC, FIA, FIE, FAR part | 88 | 111 |
| 14 | Public Affairs: Domestic | FID, FPR, FAR part | 21 | 23 |
| 15 | Undersecretarial Staff Support: Policy | POL | 7 | 7 |
| 16 | Executive Information Services | SER | 4 | 5 |
| 17 | Archives: Historical Research | FAH | 12 | 12 |
| 18 | Archives: Library Services | ACL | 29 | 32 |
| 19 | Archives: Records and Support Services | ACPA, ACPT, ACPW, ACI, POP | 158 | 196 |
| 20 | Communications Services | ACT | 192 | 204 |
| 21 | Physical Resources: Property | ARB, ARC, ARD part | 41 | 46 |
| 22 | Physical Resources: Materiel | ARM, ARD part | 62 | 68 |
| 23 | Personnel: Staffing, Classification and Training | APO, APX and APP part | 95 | 112 |
| 24 | Personnel: Staff Relations | APR, APP part | 85 | 102 |
| 25 | Financial Services and Control | AFF, AFR, AFP part | 109 | 119 |
| 26 | Management Advisory Services | AFS | 22 | 22 |
| 27 | Intelligence and Security | PSI, PSS, EIP | 105 | 113 |
| 28 | Senior Management and Staff | ICER, EAP, USSEA, etc. | 67 | 76 |
| TOTAL | | | 1776 | 2166 |

*FPEC is an abbreviation for Foreign Policy Formulation and Coordination.

TABLE 2 EVALUATION COMPONENTS
BUDGETARY RESOURCES

| Ref. No. | Component Name | Budget 1979/80 (1000) | | | Grants and* Contributions | Total |
|----------|---|-----------------------|-----------|---------|------------------------------|--------|
| | | Salaries | Operating | Capital | | |
| 1 | FPEC: Geopolitical | 2864 | 475 | - | 4810 | 8149 |
| 2 | FPEC: Economic & Technological | 1472 | 336 | - | 9908 | 11716 |
| 3 | FPEC: United Nations Affairs | 441 | 67 | - | 51422 | 51930 |
| 4 | FPEC: Commonwealth Institutions | 188 | 18 | - | 2848 | 3054 |
| 5 | FPEC: Francophone Institutions | 152 | 18 | - | 6538 | 6708 |
| 6 | FPEC: Federal-Provincial | 366 | 36 | - | - | 902 |
| 7 | FPEC: Disarmament | 194 | 141 | - | - | 335 |
| 8 | FPEC: Defence Relations | 321 | 42 | - | 5592 | 5955 |
| 9 | Passport | 4684 | 4168 | 745 | - | 9597 |
| 10 | Consular Services | 994 | 230 | - | 10 | 1234 |
| 11 | Protocol | 722 | 2691 | - | - | 3413 |
| 12 | Legal Affairs | 904 | 280 | - | 16 | 1200 |
| 13 | Public Affairs: Abroad | 1716 | 11298 | 55 | 380 | 13449 |
| 14 | Public Affairs: Domestic | 461 | 485 | - | 176 | 1122 |
| 15 | Undersecretarial Staff Support: Policy | 197 | 88 | - | - | 285 |
| 16 | Executive Information Services | 132 | 27 | - | - | 159 |
| 17 | Archives: Historical Research | 279 | 190 | - | - | 469 |
| 18 | Archives: Library Services | 444 | 493 | - | - | 937 |
| 19 | Archives: Records and Support Services | 2146 | 1893 | 221 | - | 4260 |
| 20 | Communications Services | 3469 | 6582 | 2094 | - | 12145 |
| 21 | Physical Resources: Property | 1165 | 9141 | 18249 | - | 28555 |
| 22 | Physical Resources: Materiel | 1171 | 1090 | 4443 | - | 6704 |
| 23 | Personnel: Staffing, Classification and Training | 2384 | 8292 | 25 | - | 10701 |
| 24 | Personnel: Staff Relations | 1755 | 19395 | - | - | 21150 |
| 25 | Financial Services and Control | 2117 | 783 | - | 50 | 2950 |
| 26 | Management Advisory Services | 525 | 849 | 21 | - | 1395 |
| 27 | Intelligence and Security | 2130 | 1187 | 678 | - | 3995 |
| 28 | Senior Management and Staff | 1771 | 695 | - | - | 2466 |
| | TOTAL | 35164 | 70990 | 26531 | 81750 | 214435 |

*Distributed according to overseeing division.



TABLE 3. DEPARTMENTAL RESOURCES SUMMARY

| Resource Group | Personnel | | Budget (\$1000) | | | | Total |
|---|------------|------------|-----------------|--------------|------------|-------------|--------------|
| | Actual | Positions | Salaries | Operating | Capital | Grants | |
| 1. Components to be evaluated (1-26)** | 1604 | 1977 | 31264 | 69117 | 25835 | 81780 | 207974 |
| 2. Components not evaluated (27,28) | <u>172</u> | <u>189</u> | <u>3901</u> | <u>1882</u> | <u>678</u> | <u>-</u> | <u>6461</u> |
| Subtotal 1,2** | 1776 | 2166 | 35165 | 70999 | 26513 | 81780 | 214435 |
| 3. Special Leave, miscellaneous | 135 | 208 | 24438 | - | - | - | 24438 |
| 4. Canada-based staff abroad. | 1203 | 1276 | | | | | |
| 5. Post operations (not included elsewhere) | 2400* | 2882* | 26721 | 47951 | 8654 | - | 33326 |
| 6. Other (not included elsewhere) | <u>-</u> | <u>-</u> | <u>6443</u> | <u>10649</u> | <u>-</u> | <u>1877</u> | <u>18969</u> |
| Subtotal 3-6 | 3738* | 4366* | 57602 | 58600 | 8654 | 1877 | 126733 |
| TOTAL** | 5544* | 6532* | 92766 | 129599 | 35185 | 83627 | 341177 |

*Includes estimated figure for locally-engaged staff.

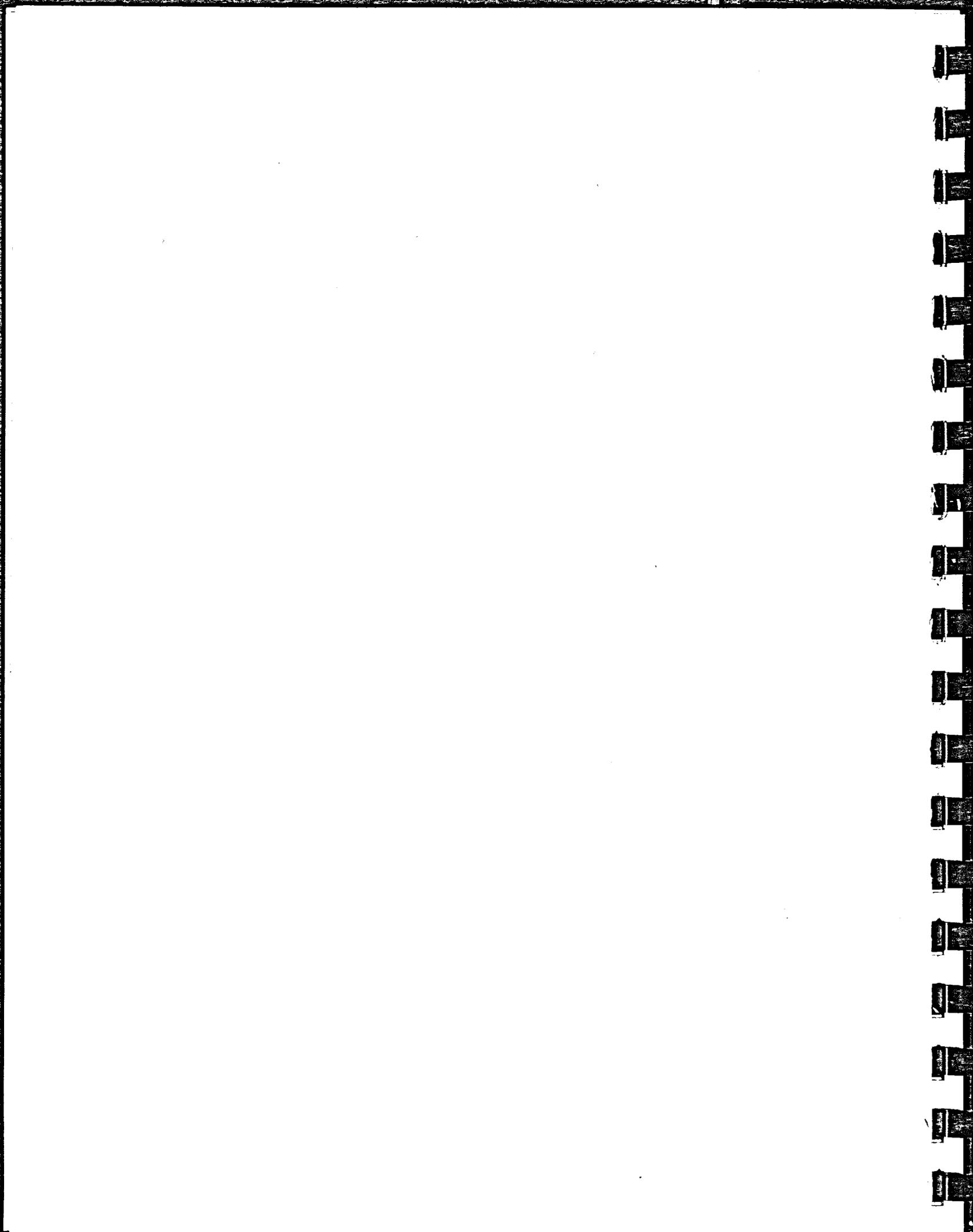
**Includes figures for the passport program which is administered via a revolving fund for cost recovery.

TABLE 4 EVALUATION COMPONENTS
RECOMMENDED EVALUATION TYPE

| <u>Ref. No.</u> | <u>Component Name</u> | <u>Recommended Type</u> | <u>Estimated (month)</u> |
|-----------------|---|-------------------------|--------------------------|
| 1 | FPFC: Geopolitical | Conceptual | 6-9 |
| 2 | FPFC: Economic & Technological | Conceptual | 6-9 |
| 3 | FPFC: United Nations Affairs | Conceptual | 3-6 |
| 4 | FPFC: Commonwealth Institutions | Conceptual | 1-3 |
| 5 | FPFC: Francophone Institutions | Conceptual | 1-3 |
| 6 | FPFC: Federal-Provincial | Conceptual | 1-3 |
| 7 | FPFC: Disarmament | Conceptual | 1-3 |
| 8 | FPFC: Defence Relations | Conceptual | 1-3 |
| 9 | Passport | Effectiveness | 3-6 |
| 10 | Consular Services | Effectiveness | 6-9 |
| 11 | Protocol | Conceptual(1) | 1-3 |
| 12 | Legal Affairs | Conceptual | 1-3 |
| 13 | Public Affairs: Abroad | Effectiveness | 6-9 |
| 14 | Public Affairs: Domestic | Effectiveness | 3-6 |
| 15 | Undersecretarial Staff Support: Policy | Conceptual | 1-3 |
| 16 | Executive Information Services | Conceptual | 1-3 |
| 17 | Archives: Historical Research | Conceptual | 1-3 |
| 18 | Archives: Library Services | Process | 1-3 |
| 19 | Archives: Records and Support Services | Process (2) | 1-3 |
| 20 | Communications Services | Effectiveness (3) | 6-9 |
| 21 | Physical Resources: Property | Effectiveness | 6-9 |
| 22 | Physical Resources: Materiel | Effectiveness | 6-9 |
| 23 | Personnel: Staffing, Classification and Training | Process (4) | 3-6 |
| 24 | Personnel: Staff Relations | Process (5) | 3-6 |
| 25 | Financial Services and Control | Process (6) | 3-6 |
| 26 | Management Advisory Services | Conceptual | 1-3 |

TABLE 4 NOTES

1. Perhaps expansion as appropriate.
2. Coordinate with audit plan for scope, timing,
3. Effectiveness evaluation in selected areas after major evaluability assessment (integrate with audit of that area).
4. Conceptual focus on alternatives (because of unique features of department). Efficiency questions addressed through internal audit. Effectiveness focus on internal organizational impact.
5. Conceptual focus on effect of directives. Internal audit for process (may stimulate evaluation). Effectiveness focus on internal organizational impact.
6. Anticipated focus on centralization vs. decentralization in conceptual evaluation. Rest of process addressed through internal audit.



APPENDIX C

GUIDELINES FOR CONDUCTING EVALUABILITY ASSESSMENTS IN EXTERNAL AFFAIRS

OBJECTIVES

Detailed evaluability assessments of specific program components are directed toward a number of inter-related objectives. It is assumed that all components are evaluable, at least in conceptual terms. The assessment is therefore primarily concerned with questions of "how" rather than "if". The specific objectives of this exercise may be identified as follows:

- (a) to assess the extent to which a program component is evaluable;
- (b) to develop a broad outline of the recommended approach and scope of evaluation, and to identify major questions or issues to be addressed;
- (c) to provide a resource estimate for the recommended evaluation approach, and also for a small number of other approaches of different nature and scope;

- (d) to involve the responsible program component manager(s) in the design of the evaluation, so as to ensure that the results will be credible and useful.

APPROACH

Every evaluation shall be preceded by an evaluability assessment; the results of the assessment in large measure will determine the design of the subsequent evaluation.

For the three initial evaluability assessments, it is proposed to employ small teams of one consultant plus one or more EAP staff. The assessments will be conducted largely in parallel, each one taking an estimated three to four weeks elapsed time.

The major tasks involved in each of the assessments will be as follows:

- (a) developing a better understanding of the program component in terms of its important elements (eg. objectives, activities, outputs, perceived effects etc.);

- (b) completing a more detailed, more objective evaluability profile (an extension of the one produced previously in the overview);
- (c) identifying a small number of alternative approaches to the evaluation in terms of design and scope;
- (d) developing a broad outline of the recommended approach;
- (e) estimating the resources and timeframe necessary to complete the evaluation;
- (f) writing a brief, pro-forma report on the findings and recommendations.

The approach taken will be based partly on the review of all existing relevant documentation pertaining to the program component, and partly on a small number of semi-structured interviews conducted with the managers involved. The Director General of each component has already been requested to assemble existing documentation on:

- mandate and objectives
- activities and priorities
- organization and resources
- outputs
- perceived effects
- existing evaluation mechanisms.*

Interviews with responsible managers will be conducted at three levels: Deputy or Assistant Under Secretary; Director General; and Director. At this time, it is unlikely that we will have to interview other program staff. A common, semi-structured interview guide will be employed in each case although not all questions will be asked of all individuals; judgement will dictate the appropriate emphasis. Furthermore, questions of clarification and resolution, and questions pertaining to additional issues or concerns will almost certainly arise during discussion.

Three different purposes can and must be served during these interviews. First, sufficient information must be obtained to complete a program component description and evaluability profile. Second, an attempt must be made to obtain the cooperation (and assistance) of the responsible manager in conducting the actual evaluation. Finally, his/her assistance should be solicited in identifying the

*It is to be expected that in many cases the available documentation will be inadequate.

important issues or questions to be addressed in the evaluation, so that it may be of value to the program manager as well as to his/her superiors.

Each interview should involve a minimum number of people, on both sides of the table, and should be planned whenever possible to provide two to three hours for discussion. One meeting will likely be sufficient with the Deputy or Assistant Under Secretary, and one on two each with the Director General and each of the Directors. In order to identify differing expectations and perceptions, these meetings should not be combined into a single forum. In general, it may be best to start with the Director General, followed by the Deputy or Assistant Under Secretary, and then the Directors. A final "wrap-up" session with the D.G. may also be appropriate.

PROCEDURE

The specific steps to be followed in the conduct of each evaluability assessment are listed below:

1. All team members should carefully review all available information concerning the specific program component in question, including the component description and profile resulting from the overview assessment. They should also be familiar with the purpose and procedures of the evaluability assessment.

2. Before the first meeting with program managers, the team should develop some preliminary ideas as to the appropriate nature, scope, and possible approaches to the evaluation. Particular attention should be given to reviewing critically the stated objectives, and determining the appropriate focal point of the assessment (i.e. should one consider the component as a whole, or treat specific sub-components separately, such as Consular Policy and Consular Operations?).

3. The "data collection" portion of the interview program should be arranged and completed. Each interview generally should follow the Interview Guide attached as Appendix "A",* but should also incorporate generous measures of initiative, inquisitiveness, and judgement.

..../7

* not included in the report.

4. A detailed Program Component Description form (Appendix "B")* must be completed. This may be either left with the D.G. during the first interview, or completed by the team on the basis of available information and interviews. In the latter case, however, all recorded information should be confirmed by the appropriate manager.

5. A (possibly) revised Evaluability Profile should be completed on the basis of the interviews and any other new information collected.

6. At least two (preferably three) basically different approaches to the evaluation should be identified, and resource requirements estimated. "Basic differences" would involve some combination of the type of evaluation, scope, methodological design, important issues, and empirical data requirements.

7. A recommended approach should then be selected by the team, and a broad outline of this approach developed. This outline should include: type of evaluation; important questions and issues to be addressed; proposed effectiveness indicators and how they will be measured; scope; data requirements; resource requirements, and timeframe.

.... /8

* included as Appendix D to the report.

8. The proposed outline of the evaluation design should be reviewed with the appropriate Director General, and changes made or reservations noted.

OUTPUT

The end product of each evaluability assessment will be a brief report; these in turn will be incorporated in the Planning Report submitted to the Evaluation & Audit Committee. It is expected that the evaluability assessment reports will form the basis for drafting terms of reference for the first evaluations.

Each evaluability assessment report will consist of at least the following:

A. Program Component Description*

(1) Background information

- current & previous organization
- a three year picture of personnel & financial resources
- manager(s) responsible
- mandate

* In essence, we are verifying and expanding the component description produced in the overview assessment.

(2) Objectives

- stated in operational terms, sufficiently specific to guide activities & identify effects
- may require interaction with managers

(3) Clients

- specific clients must be identified, for whom goods and/or services are provided (eg. a particular Bureau or other government department or some segment of the public);

(4) Process Description

- a concise summary of major activities, grouped into homogeneous sets
- brief discussion of planning, priority setting, and workload determinants

(5) Program Outputs

- identify & list with any existing output measures indicated
- include "soft" outputs, such as provision of advice, arranging meetings etc.
- quantify as much as possible
- separate discretionary from non-discretionary

(6) Perceived Impacts or Effects

- identify specifically those effects or impacts that are perceived to result from the existence of this program component
- note existing or possible measures of these effects
- note also how effects are perceived to be linked to outputs

(7) Data Bases

- note type, quantity, quality and availability of data which currently exists pertaining to output and effects
- what measurement systems are in place?

(8) Supplementing Information

- identify any previous external evaluation
- note existing internal evaluation or reviews (excluding personnel)

B. Evaluability Profile

A (possibly) revised evaluability profile will be completed, based on this more detailed component description. Important assumptions will be noted.

C. Evaluation Design

(1) Recommended Approach

- describe recommended approach to the evaluation in terms of:
 - type of evaluation
 - scope
 - important questions & issues to be addressed
 - outline of methodological approach
 - data requirements (and how satisfied)
 - resource requirements
 - timeframe

(2) Alternatives

- identify and briefly describe at least two basically different approaches to the evaluation
- compare/contrast with recommended approach
- estimate resource implications

APPENDIX D

EVALUABILITY ASSESSMENT
PROGRAM COMPONENT DESCRIPTION

Ref. No. _____

A. DESCRIPTION

NAME OF COMPONENT:

ORGANIZATIONAL UNITS INVOLVED:

SENIOR MANAGER RESPONSIBLE:

RESPONSIBLE DEPUTY/ASSISTANT UNDER SECRETARY:

HOW LONG HAS CURRENT ORGANIZATIONAL STRUCTURE
BEEN IN PLACE?

ROUGHLY HOW LONG HAS THIS PROGRAM COMPONENT
EXISTED?

B. RESOURCES

1. Personnel

| | 79/80 | 78/79 | 77/78 |
|-------------------------------------|-------|-------|-------|
| Authorized Person-Years (HQ) | | | |
| Apprx. Related Post Resources (P.Y) | _____ | _____ | _____ |
| TOTAL | ===== | ===== | ===== |

2. Expenditures (\$1000)*

Operating

Capital

Grants & Contributions

| | | |
|-------|-------|-------|
| _____ | _____ | _____ |
| ===== | ===== | ===== |

C. SPECIFIC MANDATE OR LEGISLATIVE REQUIREMENT FOR PROGRAM
(state concisely; indicate source of mandate)

* Excludes salaries; 79/80 forecast, other years show actual expenditures.

C. CLIENTS (To Whom/What Is Your Output Directed?)

| TYPE | LIST MAIN EXAMPLES |
|-----------------------------|--------------------|
| Public | |
| Posts or Missions | |
| Senior Management | |
| Other Bureaux | |
| Other Departments | |
| Foreign Governments | |
| Provincial Governments | |
| International Organizations | |
| Other | |

E. PRINCIPAL OBJECTIVE(S)

(state concisely & precisely, in operational terms)

F. MAIN ACTIVITIES

(Group into homogeneous sets, highest priority first.
Estimate rough proportion of staff resources involved.
For posts, consider only those personnel directly
involved in this program)

- (1) Headquarters

(2) Posts

G. OTHER EVALUATION MECHANISMS

(1) Has there been any "external" evaluation or review of this program component within the last five years? If Yes, indicate when, by whom, and the title and source of the report produced.

(2) List any existing "internal" periodic evaluations or reviews (excluding personnel). Indicate their nature, their duration, who performs them, and with what frequency.

APPENDIX E

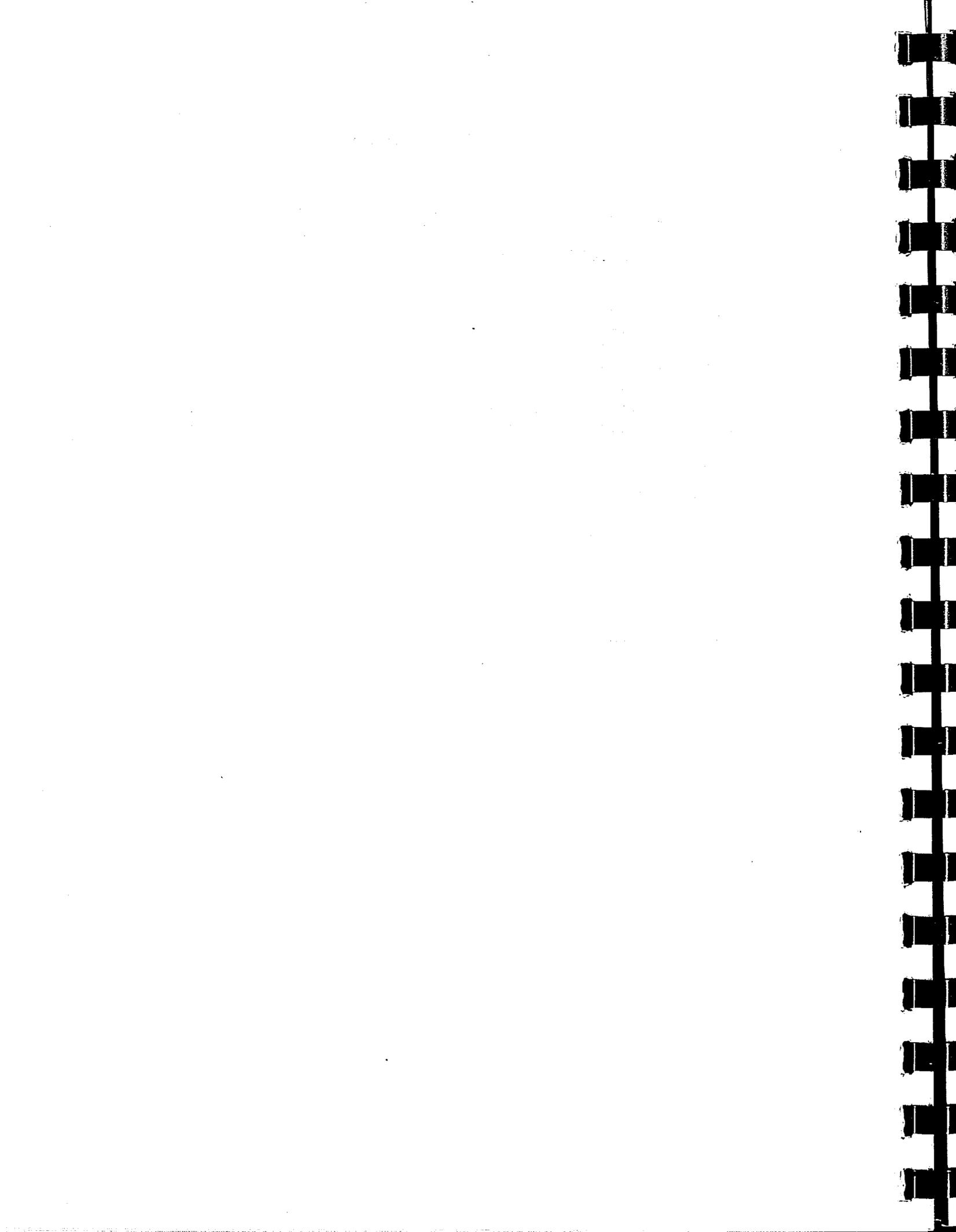
AN EVALUABILITY ASSESSMENT
OF THE
CONSULAR SERVICES PROGRAM

Office of Evaluation and Audit
Department of External Affairs
February 1980



TABLE OF CONTENTS

| | PAGE |
|------------------------------------|------|
| 1. INTRODUCTION | 1 |
| 2. PROGRAM COMPONENT DESCRIPTION | 2 |
| 2.1 Organization | 2 |
| 2.2 Resources | 2 |
| 2.3 Mandate | 3 |
| 2.4 Objectives | 3 |
| 2.5 Clients | 5 |
| 2.6 Process Description | 6 |
| 2.7 Outputs and Effects | 9 |
| 2.8 Existing Evaluation Mechanisms | 9 |
| 3. EVALUABILITY PROFILE | 13 |
| 4. EVALUATION DESIGN | 15 |
| 4.1 Approach | 15 |
| 4.2 Scope | 16 |
| 4.3 Issues to be Addressed | 17 |
| 4.4 Methodology | 20 |
| 4.5 Resources | 24 |
| 4.6 Alternatives Considered | 24 |



AN EVALUABILITY ASSESSMENT
OF THE
CONSULAR SERVICES PROGRAM

1. INTRODUCTION

Following a decision to introduce the concepts of program evaluation to the Department of External Affairs, the Office of Evaluation and Audit (EAP) completed a preliminary evaluation study of the Department. This analysis identified some 28 evaluation components within the Department's existing organization, programs, and activities. Some of these components are coincident with the existing organizational structure, while others may cross or combine existing boundaries. A plan has been prepared to enable each of the components to be evaluated during the next few years.

Prior to commencing any particular evaluation, the component in question is subjected to an evaluability assessment. Essentially, the purpose of this assessment is to determine the extent to which the program component (or its major parts) is evaluable, to prepare the outline of a recommended evaluation design, and to estimate the resources required.

Consular Services is one such program component of an initial set of three selected for evaluability assessment by the Evaluation and Audit Committee. This assessment reflects the cooperation and assistance generously provided by the Director General and staff of the Bureau of Consular Services.

Chapter 2 of this assessment provides a description of the Consular Services program component, in terms of the organizational units involved, objectives, major activities and outputs, resources, clients and perceived effects. An evaluability profile is then presented which shows, in tabular format, the extent to which the component is considered to be evaluable, and the relative ease with which an evaluation can be done.

Chapter 4 then goes on to identify and to discuss possible methodological approaches to the design of the evaluation. An outline of the recommended design is put forward in terms of important parameters such as scope, approach, issues and resource implications, and a limited number of alternatives or options are then discussed.

2. PROGRAM COMPONENT DESCRIPTION

2.1 Organization

In a conceptual sense, the Consular Services program is intended to provide services, protection and assistance to Canadian travellers and residents abroad, and to protect Canadian interests abroad. It is the joint responsibility of a headquarters unit, the Bureau of Consular Services, and 111 posts abroad.

The Bureau provides the overall functional management and direction for the program. It develops and updates policy, procedures and guidelines for the posts, originates new programs as required, provides direction to posts on specific cases, analyzes the need for and appoints honorary consuls, liaises with other Bureaux and other government departments, negotiates bilateral and multilateral consular agreements, trains consular staff, and carries out the consular awareness program. It is organized into two functional divisions, Consular Policy and Consular Operations.

The current Director General of the Bureau of Consular Services is Mr. J.F.X. Houde. Mr. J. Gignac, an Assistant Under-Secretary, maintains a continuing interest on behalf of the Under-Secretary and supervises specific consular projects as may be necessary, e.g., emergency evacuations. Line responsibility falls to Deputy Under-Secretary M. de Goumois.

The major portion of the "delivery" of the program is carried out by the posts abroad, each operating within a specific consular jurisdiction. Indeed, one of the major functions of the posts is the provision of consular services, on a responsive basis, to the Canadian public either travelling or living in foreign countries. These services may be broadly categorized as either government services equivalent to those available in Canada (e.g., issuance of passports, notarization of documents, etc.), or as emergency assistance provided to Canadians faced with acute unanticipated problems abroad (e.g., illness or death, imprisonments, shortage of funds, etc.).

2.2 Resources

Person-year resources devoted to the Consular Services program for the last three years are estimated as follows:

| | <u>1976/77</u> | <u>1977/78</u> | <u>1978/79</u> |
|--------------------------------|----------------|----------------|----------------|
| Bureau of Consular Services PY | 34 | 34 | 36 |
| Related Post PY | <u>188</u> | <u>182</u> | <u>177</u> |
| TOTAL | 222 | 216 | 213 |

It should be pointed out however, that the Bureau of Consular Services has little influence on the number or distribution of post personnel that are assigned to consular activities; post resource allocation falls within the jurisdiction of the Interdepartmental Committee on External Relations (ICER). The estimate above is based on a tabulation of "Country Program" figures submitted by posts, but the "Consular Program" therein defined includes activities for which the Bureau has no headquarters responsibility (e.g., passports).

Detailed program expenditures are not obtainable because the budget breakdown does not reflect a program perspective; consular program costs are therefore quite difficult to isolate, total annual expenditures are estimated to be between \$10 and \$12 million dollars. However, most of this amount is used for salaries and other operating costs abroad. The Bureau of Consular Services is responsible only for the headquarters portion of total program costs, amounting to roughly \$250,000 per year, exclusive of salaries.

2.3 Mandate

Two principal instruments provide the program's mandate: one is the Department of External Affairs Act of 1909, which directed that the administration of consular matters be performed by the Department of External Affairs. The other is the Vienna Convention on Consular Relations which entered into force in Canada in 1974. Certain Acts of Parliament also provide specific authorities and instructions, e.g., the Canadian Citizenship Act (1977), the Immigration Act (1976), the Diplomatic and Consular Privileges and Immunities Act, (1977).

2.4 Objectives

The primary purpose of the Consular Services program is to provide protection and assistance to Canadians and Canadian interests abroad. (This is an essential element of Canadian foreign policy).

The global objectives of the program may be identified as follows: *

- (a) to provide a satisfactory level of consular services, and render assistance consistent with the provisions relevant statutory regulations, of the Manual of Consular Instructions and other Canadian Government directives and regulations;
- (b) to protect the interests of Canada and Canadians by ensuring compliance with provisions of the Vienna Convention and other multilateral or bilateral agreements;
- (c) to educate the public through the conduct of a "Consular Awareness Program", the aims of which are to encourage travellers to take precautions and to inform Canadians of services available in the hope that this will reduce the demand for consular services.

A set of second-level or more operational objectives has also been suggested as follows:

- (a) to develop and implement (or coordinate implementation of) plans by "country unit" for the evacuation of Canadian citizens in the event of local emergencies;
- (b) to develop the framework for future bilateral consular agreements, and to improve the international consular environment affecting Canadian interests abroad;
- (c) to develop and improve the procedures and guidelines contained in the Manual of Consular Instructions;
- (d) to ensure that all legislative changes in Canada take into account the status of Canadian citizens abroad and to ensure Canadians resident abroad are aware of such changes;
- (e) in cooperation with CEIC, to ensure the Canadian policy on immigrant and non-immigrant entry to Canada is implemented at posts abroad, that

* It is recognized that this set of objectives will require further discussion and clarification during an evaluation. It is presented here as an initial departure point.

policies are understood and that international implications are appreciated within Canada;

- (f) to monitor on a continuing basis and to expand the policy of appointing honorary consuls;
- (g) to conduct headquarters training of consular staff prior to their assignments abroad.

2.5 Clients

The principal clients of the program are members of the general public in the following categories:

- (a) Canadian citizens resident abroad;
- (b) Canadian citizens travelling abroad;
- (c) relatives (or friends) of (a) or (b) living in Canada.

Other clients include:

- (a) Canadian business interests operating abroad;
- (b) Canadian travel agents;
- (c) foreign governments;
- (d) various federal government departments and agencies (e.g., CEIC, Customs and Excise, Sol. Gen., CIDA, ITC, etc.) for which consular staff render certain services.

With the exception of certain aspects of Headquarters' activities involving policy establishment and development, the Consular Services program is almost entirely responsive; i.e., activity is created only when demands for services are received. In most cases, the workloads are to some extent predictable. Consequently, it is possible to plan resource requirements with reasonable success. Most of the activity is conducted at the posts by very small consular units, frequently only one or two persons. Passports are issued and consular services rendered with a degree of spontaneity, and priority setting is rarely an issue. Workload determinants include:

- (a) the number of Canadian citizens resident in the consular territory;
- (b) the number of Canadian visitors to the consular area concerned (often seasonally influenced);
- (c) safety factors for travellers and local incidence of criminal offences involving foreigners;

- (d) extent of legal formalities observed by host country authorities which influences the lives of Canadians or otherwise necessitate intervention.

In emergency situations involving a single Canadian citizen or the entire Canadian community, the entire staff of the post can become involved in consular activity for limited periods of time. All employees at posts abroad are made aware of the priority given to consular services in certain circumstances.

2.6 Process Description

Major activities of the Consular Services program are identified below, first for headquarters and then for the posts.

Headquarters Activities

1. Managing and coordinating the provision of consular services abroad by:
 - a) developing and disseminating consular procedures and instructions to posts abroad,
 - b) developing policies and plans for emergency evacuation situations,
 - c) recording and analyzing statistical reports of services rendered abroad,
 - d) providing training for personnel being assigned abroad with consular responsibilities,
 - e) developing policy and implementing procedures for consular commissions,
 - f) reviewing post reports of consular services,
 - g) investigating complaints of deficiencies in service,
 - h) maintaining a record of Canadians resident abroad (except for USA and Britain),
 - i) evaluating effects of new changes in Canadian legislation on Canadian citizens residing abroad and providing such information to posts abroad,

- j) evaluating the need for additional services abroad and developing methods of meeting such needs (e.g., Honorary Consuls program).
 - h) representation of External Affairs in the Refugee Status Advisory Committee and Political Prisoners and Dissidents Committee (both chaired by CEIC), and other interdepartmental committees with consular implications,
 - i) Evaluating the effect of changes in foreign legislation on the citizenship position of Canadian citizens, as was done recently in the case of Soviet legislation relating to "Soviet citizens abroad" (dual nationals).
2. Providing assistance and advice to Canadians in Canada by:
- a) making representations to foreign governments, and providing assistance in the formulation and representation of family re-unification cases,
 - b) disseminating travel warnings and providing travel advice on request,
 - c) publishing general travel information for Canadians who intend to travel,
 - d) contacting family or relatives of Canadians in distress abroad to facilitate and expedite the resolution of the Canadian's problem.
 - e) handling requests for foreign documents,
 - f) locating missing Canadians abroad.
3. Evaluating international developments and legislative procedures with a view to obtaining optimum and uniform protection for Canadians and Canadian interests, and formulating policies and negotiating international or bilateral agreements or conventions.
4. Co-ordinating visa approvals for applicants from "scheduled" countries.

Post Activities

1. Managing the Consular Program in the "country unit", and providing the following services:
 - issuing passports and emergency travel documents;
 - registering Canadian residents abroad;
 - issuing diplomatic and official visas;
 - servicing Canadian citizenship applications and enquiries;
 - arranging for emergency evacuation;
 - providing financial assistance to distressed Canadians;
 - providing appropriate information, advice and counselling to Canadian individuals and firms who are subject to action by foreign judicial systems;
 - witnessing documents;
 - providing affidavits;
 - issuing non-immigrant visas;
 - making arrangements arising from deaths.
2. Establishing and maintaining effective working relationships with the appropriate local, national and international bodies and institutions which are located in the territory covered by the post, such as law enforcement, welfare, and immigration.
3. Analyzing plans and activities and reporting to headquarters any known or potential developments affecting the resident or travelling Canadian populations, and recommending procedures or courses of action to protect the interests of Canadians.
4. Making recommendations and participating in the negotiation of any bilateral consular agreements between Canada and the countries included in the "country unit".
5. Developing and maintaining, in consultation with Headquarters, an effective and up-to-date plan for operation for emergency evacuation, based on an ongoing assessment of local conditions.
6. Coordinating and contributing advice on refugee matters to the Refugee Status Advisory Committee.

2.7 Outputs and Effects

During the fiscal year 1978/79, there were a total of 571,298 consular "cases" reported. Of these, a very small proportion were related to crises or emergencies (approximately 3%); the remainder represented various forms of general consular assistance such as issuing passports or visas, notary documents, etc. Every two months, statistics are compiled by the posts and reported to the Bureau, but detailed statistics on the various types of "general" services are not maintained individually.* Summary figures are given only for the following categories:

- detentions
- hospitalizations
- financial assistance cases
- repatriations
- deaths
- general consular assistance.

An initial attempt to identify the more significant program outputs, and some of the perceived effects to which they may give rise, is presented in Table 1.

2.8 Existing Evaluation Mechanisms

Consular Services, as conducted by the posts abroad, are subjected to review annually in conjunction with the Country Program Review exercise. Country program documents contain a description of the country-specific program, comments on performance over the year and some indication as to future trends in the consular activity in the posts' consular territories. The person-year utilization and forecast is reviewed at the same time.

There are periodic ICERIS inspections of all posts, about every third year, at which time the consular program is reviewed as one of the many post responsibilities. Inspection Reports are available.

* For instance, figures on the numbers of passports issued are maintained by the Passport Office but there is no indication of the amount of time devoted to this aspect of the Consular Program. Some estimates place passport work at 30 per cent of the program time, but there are no data to support this other than the numbers of passports issued.

Table 1.

SUMMARY OF PROGRAM OUTPUTS AND PERCEIVED EFFECTS

| <u>Outputs</u> | <u>Effects</u> |
|---|---|
| 1. Passports issued, renewed, or entries made. | Legalizes the status of Canadians resident or travelling abroad. |
| 2. Official information and advice provided written and verbal (wide variety of governmental matters: citizenship, welfare, veterans, taxation, etc.). | The intended effect of these outputs is that Canadians resident or travelling abroad would receive the same services as they would receive in Canada. |
| 3. Information provided on various local conditions (travel, legal and medical services, etc.). | |
| 4. Documents and forms notarized. | |
| 5. Application forms completed (various). | |
| 6. Information on events taking place in Canada (news in general or changes in legislation). | |
| 7. Assistance provided to persons in difficulty (financial: arranging private transfers) | |
| (financial: extending government loans) (repatriation arrangements) | |
| emergencies) (deceased persons: disposal arrangements, shipments, estate protection, liaison with next of kin). | |
| 8. Assistance provided to persons detained: visits, arranging legal counsel, representation with authorities, reporting, liaison with relatives for and comforts. | |

Table 1 (Continued)

| <u>Outputs</u> | <u>Effects</u> |
|---|---|
| 9. Visas issued (diplomatic and official | Permits visitors from certain countries to come to Canada to carry out business and foster general relations. |
| 10. Registration cards completed of persons living or working abroad, or travelling in Communist countries. | Greater protection; facilitates communications and evacuation planning. |
| 11. Emergency evacuation plans completed/ revised. | Greater security of Canadians living abroad. |
| 12. Situation reports provided on conditions affecting interests or wellbeing of Canadians travelling or living abroad. | Headquarters advised of changing conditions affecting welfare and safety of Canadians abroad. |

There has never been a comprehensive, independent review of the entire Consular Services program, using program evaluation concepts. However, there have been overall reviews in the past conducted by the Bureau itself.

3. EVALUABILITY PROFILE

The evaluability profile on the next page (Table 2) presents an assessment of various factors related to the Consular Services program component. There are five groupings of the factors, namely, objectives, nature of the process, operational outputs of the process, effects of the process, and availability of data.

Three descriptors accompany each factor arranged to reflect (left to right) the degree of difficulty of carrying out a full effectiveness evaluation. The circled descriptors express the collective judgement of the evaluation team, and the set of circled descriptors for all factors gives a profile for evaluability. Sometimes, because of the range of activities, more than one descriptor will be circled; each applies to a different set of sub-programs.

If all the circled descriptors are in the first column, then the implication is that the program is (or can be) sufficiently well-defined and enough information is available (or can be collected) to carry out a full effectiveness evaluation. In fact, one might still carry out such an evaluation if the profile has some factors in the second column. However, if there are certain circled descriptors in the third column, one may be constrained to a process or a conceptual evaluation, at least until such time as some necessary "front-end" work has been undertaken.

Similarly, if some descriptors are circled in the second, or third columns, but certain essential ones are in the first column (e.g., process and outputs), one may carry out a process evaluation.

However, if all the circled descriptors lie in the third column, one is likely to be restricted to a conceptual evaluation. In many cases this conceptual evaluation might give rise to recommendations pertaining to objectives clarification or performance measurement systems (for instance) which could facilitate "higher order" evaluations later.

The basic assumption is that a conceptual evaluation is possible for any program component. The evaluation team used the evaluability profile to assess whether it is also feasible to carry out either a process evaluation or an effectiveness evaluation.

TABLE 2. EVALUABILITY PROFILE: CONSULAR SERVICES

| FACTORS | DESCRIPTIONS | | |
|--|---|--|---|
| <p>1. <u>Objectives</u></p> <ul style="list-style-type: none"> - nature - potential for quantification - status | <p>clear</p> <p>high</p> <p>given</p> | <p>fuzzy</p> <p>medium</p> <p>imputable</p> | <p>obscure</p> <p>low</p> <p>hard to impute</p> |
| <p>2. <u>Process</u></p> | <p>well defined, measurable</p> | <p>complex, difficult to measure</p> | <p>randomly driven</p> |
| <p>3. <u>Operational Outputs</u></p> <ul style="list-style-type: none"> - nature - status | <p>clear, measurable</p> <p>OPMS or equivalent</p> | | <p>non-measurable or irrelevant</p> <p>not monitor</p> |
| <p>4. <u>Effects</u></p> <ul style="list-style-type: none"> - nature - links to outputs - status | <p>immediate</p> <p>identifiable, measurable</p> <p>strong</p> <p>evident</p> | <p>many different</p> <p>difficult to measure</p> <p>weak</p> <p>deducible</p> | <p>effects</p> <p>difficult to identify</p> <p>vague</p> <p>indeterminate</p> |
| <p>5. <u>Data</u></p> <ul style="list-style-type: none"> - nature - status | <p>quantifiable</p> <p>exist</p> | <p>qualitative</p> <p>obtainable with reasonable effort</p> | <p>highly subjective</p> <p>difficult to obtain</p> |

4. EVALUATION DESIGN

4.1 Approach

The recommended approach to the evaluation of Consular Services is to start with a conceptual evaluation of the entire program, and to follow this by a more in-depth look at certain aspects of program process, plus a quantitative evaluation of some elements of effectiveness.

A conceptual evaluation requires the program to meet the least stringent conditions of the different evaluation types. It is not necessary to be able to articulate the objectives in a form amenable to measurement, to establish concrete links between activities and their effects, or to have program effects insulated against influences by events outside the control of the program manager. An evaluation of this type normally includes an examination of the program mandate and the identification and study of issues related to the program. Subjective determination of intended and unintended program impacts is made, together with an assessment of alternative ways to obtain the desired program outputs or effects. The principal benefits of such an exercise are likely to be role clarification and recommendations for alternative program design.

A process evaluation, on the other hand, generally is undertaken with a view to improving the efficiency of the program design for possible resource savings. It can be carried out when the activities are coherent, the process is reasonably well defined, and both the process and the outputs are amenable to measurement. The actual program effects on the environment may be difficult to identify or measure, but this is not an obstacle, as the main thrust is to do the same thing better. Some aspects of the activities carried out at the consular posts satisfy the necessary conditions.*

Finally, an effectiveness evaluation is principally concerned with identifying and measuring the program effects or impacts, and the extent to which they achieve program objectives. In order to perform such a study, both objectives and effects must be clear and a causal link between activities (or outputs) and effects must be discernible.

* In many respects, a process evaluation may be similar to a broad operational audit, but the emphasis is on alternative ways and resource levels for carrying out the process with greater efficiency or economy, rather than on the adequacy of the particular existing systems systems, procedures and controls.

The condition for an effectiveness evaluation generally incorporates all the necessary conditions for a process evaluation, and its design often includes some questions of efficiency. An effectiveness evaluation can be used to find improvements leading to greater future effectiveness or to reassessing the resources devoted to the program (i.e., changing its priority) in the light of its current effectiveness. This type of evaluation is founded on methodological rigour and large amounts of empirical data.

4.2 Scope

Initially, a conceptual evaluation would be carried out on the Consular Services program as a whole, including both the Bureau of Consular Services and at least a sample of consular posts. It would focus on the program mandate, the clarification of objectives, selected issues, the relationship between the outputs and the objectives, and implications for program design. Subsequently, it is proposed, process or effectiveness evaluations should be carried out on specific aspects of the program.

The evaluation will not question the propriety of subscribing to the Vienna Convention. The point of view adopted is that this is generally descriptive and not prescriptive of the functions carried out in the consular program. The consular functions (as listed in the Convention) that are not carried out within the Consular Services program itself, such as trade promotional activities, will not be evaluated for effectiveness.

Physically, the scope of the recommended evaluation includes the target populations to which certain activities carried out at the posts and the Bureau are directed. These activities are clearly directed to groups external to External Affairs and to the government itself, notably those Canadians who plan to live or travel abroad, their families who remain in Canada, and those Canadians who currently are living and travelling abroad. The scope of the conceptual evaluation will also include other External Affairs bureaux (e.g., the Passport Office) and other government departments (particularly CEIC) that are directly involved with certain groups of consular services.

4.3 Issues to be Addressed

The principal questions to be addressed in the conceptual evaluation are discussed below under two theme headings: clarification of mandate, and program design. An initial set of effectiveness related issues is also suggested for the second phase of the evaluation.

(a) Clarification of Mandate and Objectives

A great many services are provided under the auspices of the Consular Services program. This issue is concerned with the legislative requirements and the governmental desire for providing consular services, and with which services must be provided. What legal obligations does a country have to look after its citizens abroad? What consular functions are provided within the program and what consular functions (as defined in the Vienna Convention) are provided outside the program? Might the location of the post make a difference in determining which services are essential? Does Canada provide more services than other countries? What would the likely effect be of eliminating certain services? What responsibilities should a Canadian citizen who is travelling or living abroad have? Are the program activities consistent with program objectives and are these in turn consistent with general departmental objectives? What effects are consular activities supposed to cause, and are these logically connected? Can objectives be operationalized sufficiently to measure performance against them? Is it logical to believe that the Consular Services program enhances Canada's image abroad? If so, is this important enough to be considered an objective? Would providing marginally better or worse services to Canadians in a foreign country likely lead to any identifiable effect on other aspects of relations with that country?

(b) Program Design

The demand for consular services is growing. At the same time, budgetary restrictions are being imposed throughout the government, including consular services. The underlying concern of this issue is the reconciliation of the increasing demand for consular services with the decreasing, or at least non-increasing, resources available to provide these services. This issue is discussed in terms of four interrelated elements.

(i) Distribution of Demand

In order to deal more effectively and efficiently with this growing demand for consular services, it is necessary to analyze demand in terms of type of service, type of post and status of the client (i.e., traveller or resident). What is the distribution of service demands? What are the busiest posts in terms of various types of consular activity? Are there identifiable trends or seasonal variations in the pattern of demand? Could a better forecast of demand result in better service and more efficient resource utilization?

Are the users representative of Canadians living and travelling abroad?

(ii) Information Systems and Standards

What kinds of management information systems exist to monitor the comparative performance of various posts, and of the program in general, in providing consular services and for identifying problems? How effective are these?

There is an apparent need for a comprehensive information system to provide useful indicators for monitoring performance and to improve managerial control.* What should the nature of this system be? What kind of burden would monitoring performance place on the posts and on the Bureau? On a similar theme, can standards be developed for certain types of consular services? Can objectives be framed in terms of standards, and can they be incorporated as measures of efficiency/effectiveness in the information system?

(iii) Program Delivery Environment

The consular officers at posts are given considerable latitude in carrying out their duties. The question arises whether the officers are

* Evidenced by the facts that over 95% of existing "case" statistics are grouped in one "general" classification, and no objective information at all is currently reported to the Bureau on the distribution of time spent by consular officers on various types of services provided.

volunteering services beyond those envisaged by the government. Does the method of delivery make it impossible to control the range of services provided? What are the attitudes, in general, of the consular officers abroad and the post managers? Do the attitudes encourage or discourage frequent visits? How much discretionary authority is granted to consular officers? Do consular officers always adhere to the Manual of Consular Instructions? Is the manual adequate? Is the training given before being sent abroad appropriate and adequate? What kinds of advice or information should consular officers offer to Canadians abroad? How can the Bureau control or even monitor the kinds of advice or services that are in fact provided?

(iv) Options for Delivery of Services

It may be possible to alter the delivery of consular services so as to reduce the burden on Canadian taxpayers, either by shifting a large portion of the actual cost to the users, or by reducing the range of services provided or eliminating certain services at certain posts. What would be the effect of charging for certain services now provided at no cost to the user, or of increasing existing fees? Are there obstacles to charging a premium for passports issued abroad? What might be the effect of eliminating consular services at certain smaller posts? What criteria are now used to establish (and maintain) consular services in a given city? What kinds of services are provided to Canadian citizens by honorary consuls and by United Kingdom posts on behalf of Canada? Should and can honorary consuls be used to a greater extent to provide consular services? Are there any problems arising from shared jurisdiction for certain services (e.g., visas issued on behalf of CEIC), and how might these be minimized?

Program Effectiveness Issues

In addition to the general issues outlined above, there are likely to be a number of particular aspects of the program that would benefit from more detailed, objective evaluation directed at questions of effectiveness. Two such additional issues are discussed below; others are almost certainly to arise during the conceptual evaluation.

(i) Level of Service

One of the important determinants of program effectiveness, for a program directed toward the public, is "client" satisfaction. This is one of the considerations normally taken into account in setting desired levels of service, or standards. Satisfaction, in turn, is at least partly determined by expectations.

What then are the expectations of Canadians abroad as to what consular services should be provided, and how they should be provided? What are the reasons for these expectations, and could they be modified? One concern is that these expectations, if uniformly held, may make it difficult for External Affairs to reduce or even alter existing services. Similarly, to what extent are actual clients of the program satisfied with the level of service provided? What indicators of satisfaction are available, and what might be developed?

(ii) Consular Awareness Program

This program is carried out by the Bureau of Consular Services. Although it is a relatively inexpensive program component (\$80,000 in fiscal year 1979/80), it may have a significant impact on the number of visitors to the posts. It is intended to make the Consular Services program known to Canadians who may be travelling or living abroad, and to give them advance warning of problems they may encounter so that they might take appropriate precautions. The issue here relates to the actual impact of the awareness program. What are the precise objectives of the Consular Awareness Program? What are the intended, realized and unintended effects of the program? Does it increase or reduce the number of visits to consular posts?

4.4 Methodology

A two-stage evaluation appears to be most appropriate for this component. The first stage would be a conceptual evaluation focussing on the clarification of mandate and objectives, and program design issues. This would include a subjective evaluation of the

effects of various alternatives to the existing range of services, and methods of providing them. As part of this stage, similar services would be grouped in categories, and it is expected that sub-issues would emerge related to each category for which more detailed study might be appropriate.

The second evaluation stage would address process and effectiveness questions arising from the first stage or as discussed above. Because the method will depend on the set of issues addressed, it cannot be fully specified at present. Possible approaches for the identified effectiveness issues, however, are presented in the section on alternatives considered.

In discussing the proposed evaluation, an attempt is made to link the issues described previously with specific methods. Since there is some overlap among the issues, there are cross-influences among the methods and they cannot be viewed in isolation. Savings can be incurred by attacking all the issues as part of one exercise rather than as distinct studies. None the less, for the sake of presentation, the methods are discussed in sequence.

The clarification of mandate and objectives issue is concerned with the legislative foundation and governmental desire for providing consular services. Within this legislative framework, it will attempt to identify what services must be provided (i.e., mandatory) and what services actually are provided (i.e., mandatory plus discretionary). The issue is to be addressed partly by review of existing legislation and relevant government documents, and by structured interviews with senior departmental management, present Bureau staff, and recently returned consular officers. Interviews with staff at other departments will also be carried out, where the activities of that department abroad are linked with the consular functions. Two particularly important examples are Industry, Trade and Commerce and the Canada Employment and Immigration Commission.

In order to obtain a broader understanding of possible options, and of the practices of other countries in the area, interviews will also be conducted with consular officials of selected foreign embassies.

Finally, interviews with consular staff in a small number of representative posts abroad will also be required to obtain "front-line" input to many questions of the perceived effects of services provided and of basic alternatives, such as eliminating certain services.

The general thrust of this portion of the evaluation will be to question the fundamental assumptions underlying the existing Consular Services program, to assess alternatives, and to clarify and attempt to operationalize a set of program objectives.

The program design issue comprises several elements. These are: the distribution of demand for consular services and resources dedicated to this demand; the need for information systems and standards; the program delivery environment; and the feasibility and practicality, with respect to legal and resource constraints, of various delivery options. This latter aspect is closely linked to the clarification of mandate; here the emphasis is more on specific delivery options for particular groups of services. The underlying concern of this issue is the reconciliation of the increasing demand for consular services and the decreasing resources available to provide these services.

The program design issue will be addressed by a number of related methods. The distribution of demand and requirements for indicators and standards will be primarily addressed by analysis of program statistics and interviews with Bureau staff and consular officers. The prime aims of the statistical analysis are to determine if any patterns exist, to identify representative posts, and to gain a clearer, sharper understanding of the nature of service demands and of the distribution of workload by type of service. The analysis will be based on descriptive statistics. There is likely to be a need to collect data not now available especially on the resource distribution among various services to facilitate this analysis.* The prime aims of the interviews are to try to corroborate the conclusions from the statistical analysis, to identify how management might make effective use of the data, and to determine what indicators are presently used. Then, the necessity, feasibility and practicality of developing and implementing standards and new indicators will be determined.

* Almost certainly this could be accomplished on a sampling basis for a limited period of time.

The program delivery environment issue is concerned with the personal aspect of how services are provided, and whether this can have any impact on future demand. It will be addressed by a review of the comprehensiveness and clarity of the Manual of Consular Instructions, interviews with Bureau staff and consular officers and process observations at a small sample of posts. The clarity and comprehensiveness of the manual will be partly determined by scanning consular messages during some fixed period for requests for direction. Persons interviewed will be asked about their attitudes to serving people, and the effect of the training program on their attitudes. Persons interviewed will also be asked if there are common characteristics of Canadians who avail themselves of consular services. This study may result in suggestions for changes to the manual and training methods, and will provide a behavioural framework for studying various delivery options.

The last task within the program design issue is to investigate alternative methods for the delivery of services. This will be done by studying such questions as are asked in section 4.3 (b) (iv) pertaining to alternatives for cost recovery, use of honorary consuls, etc.

Various options proposed at interviews or developed by the evaluators, incorporating appropriate constraints as to objectives, legislation, resources, etc., will be developed and comparatively assessed. Those which appear desirable and feasible will be discussed with representative consular staff from all levels. Senior management will then be provided with an assessment of the most likely effects and effectiveness of selected options versus current consular services, as a possible basis for program redesign.

In all of this work, the evaluators will attempt to identify significant issues which could be partially or completely resolved by more detailed evaluation, and methods by which they could be addressed. At the end of this stage, a specific recommendation for the second stage will be made to the Evaluation and Audit Committee. The intent is to carry out more detailed study only where the potential payoff to management is greatest.

4.5 Resources

The resources required to carry out the first stage of the evaluation (clarification of mandate and objectives and program design) are the following:

- (a) One experienced program evaluation manager for design assistance and technical supervision - 6 person-weeks.
- (b) One experienced program evaluation consultant to conduct the study - 16 person-weeks
- (c) One EAP officer to assist in conducting the study (and getting on-the-job training) - 20 person-weeks.
- (d) Travel funds (4-5 posts - 2 persons) - \$10,000.

At present, the resources (a) and (b) above do not exist in EAP and would have to be contracted at an approximate cost of \$38,000.

The elapsed time for the evaluation would be about six months because of data collection delays, especially for necessary information on time utilization of consular staff.

Overall responsibility for and general supervision of the evaluation would rest with EAP.

Summary: Resource Estimate for Stage 1:

| | |
|--|-----------------|
| 5½ person-months consulting services costing | \$38,000 |
| 5 person-months EAP officer | |
| Travel | |
| | 10,000 |
| | <u>\$48,000</u> |

The second stage will be specified near the end of the first stage. Resource constraints suggest the budget for this second stage would have to lie in the range of \$30,000-\$50,000.

4.6 Alternatives Considered

A number of design alternatives were considered, and the reasons for not recommending them, are presented below:

- (a) The first alternative is to do the same as in the recommended approach, except to carry out process observations in six to eight posts. This would likely increase the cost by about \$3500 for the consultant and \$8,000 for travel. This alternative was rejected because it was doubtful whether the additional information gains would warrant the additional costs.
- (b) The second alternative consists of extending the first stage evaluation to include the two additional issues, grouped under program effectiveness. The methods are developed in some detail and are presented in the following paragraphs. They have been identified as alternatives, however, for several reasons. The principal reason is that more important issues may arise from the first stage conceptual evaluation, and if so, it is these which should be the subject of the second stage. In addition, the cost of extending the study to include the program effectiveness issues would add \$25,000 - \$30,000 to the cost. Finally, the capability of

management to take action must be demonstrated prior to data collection, if the information obtained is to have any utility.

The methodology to be applied to the program effectiveness issue of level of service and "client" expectations would incorporate information gained from the previous study of program design. Client satisfaction will be addressed partly by an analysis of letters of complaint and appreciation, and partly through a survey. The aim of the analysis would be to identify any patterns in the complaints. Where appropriate, follow-up with the letter writers and consular officers would be carried out in order to corroborate the information in the letters and to determine if more recent experience has altered the views presented.

This analysis would be followed by a sample survey of recipients of consular services. About five to ten representative consulates would be selected and on a small number of preselected days all Canadian visitors would be asked to provide their name and address. Then, about a month later, a self-administered questionnaire would be sent to each of the visitors. Persons would be asked such

questions as how they first learned about the consulate, what they expected from the consulate, why they visited the consulate and whether they were satisfied with the service provided, and what they would have done had the type of service received had not been available. The survey would, of course, apply to Canadians both travelling and living abroad.

It is acknowledged that both these methods are biased, in the sense that data would be collected only from Canadians who have visited consulates. Consequently, to obtain a better measure of the general level of expectations of the potential program clientele, a second survey is required.

The issue of the effectiveness of the consular awareness program element would also be addressed in part by the post survey described above, and in part by this second survey. The latter would be a mail-in survey of a sample of persons who have obtained passports in Canada within the last twelve months.* The survey again would consist of a self-administered questionnaire. Persons would be asked if they were aware of consular services, if so which ones, and if their awareness can be attributed to the booklet, "Bon Voyage, But...", which they had received with their passports or to some other factor. This survey would give some measure of the effectiveness of the consular awareness program. It would also cover persons who had never used any consular services, and would thus provide some indication of the travelling public's a priori expectations of the type and level of services available from consular offices.**

- (c) Another way of measuring awareness of consular services among Canadians, and their satisfaction if they were clients, is by surveying Canadians at the point of re-entry to Canada. However, for reasons of sample design, logistics, and costs, this alternative is considered inferior.

* A similar survey could be sent to a sample of Canadians registered as living abroad.

**This survey would clearly also be used to estimate the proportion of Canadians travelling (or resident abroad) that have used consular services.

APPENDIX F

AN EVALUABILITY ASSESSMENT
OF
FOREIGN POLICY
FORMULATION AND COORDINATION:
UNITED NATIONS AFFAIRS

Office of Evaluation & Audit
Department of External Affairs
February 1980

TABLE OF CONTENTS

| | <u>Page</u> |
|--|-------------|
| 1. INTRODUCTION | 1 |
| 2. COMPONENT DESCRIPTION | 2 |
| 2.1 Organization | 2 |
| 2.2 Resources | 5 |
| 2.3 Mandate | 5 |
| 2.4 Objectives | 5 |
| 2.5 Activities and Outputs | 7 |
| 2.6 Clients | 10 |
| 2.7 Perceived Impacts or Effects | 11 |
| 2.8 Data Bases | 13 |
| 2.9 Existing Evaluation Mechanisms | 13 |
| 3. EVALUABILITY PROFILE | 15 |
| 4. EVALUATION DESIGN | 17 |
| 4.1 Approach | 17 |
| 4.2 Scope | 18 |
| 4.3 Issues to be Addressed | 19 |
| 4.4 Methodology | 24 |
| 4.5 Resources | 29 |
| 4.6 Alternatives Considered | 30 |
| ANNEX A Canada's Financial Contribution to the U.N. System | 32 |

AN EVALUABILITY ASSESSMENT
OF
FOREIGN POLICY
FORMULATION AND COORDINATION:
UNITED NATIONS AFFAIRS

1. INTRODUCTION

Following a decision to introduce the concepts of program evaluation to the Department of External Affairs, the Office of Evaluation and Audit (EAP) completed a preliminary evaluation study of the Department. This plan identified some 28 evaluation components within the Department's existing organization, programs, and activities. Some of these components are coincident with existing organizational structure, while others may cross or combine existing organizational boundaries. A plan has been prepared to enable each of the components to be evaluated during the next few years.

Prior to commencing any particular evaluation, however, the component is subjected to an evaluability assessment. Essentially, the purpose of this assessment is to determine the extent to which a given program component (or its major parts) is evaluable, to prepare the outline of a recommended evaluation design, and to estimate the resources required.

FPFC: United Nations Affairs is one such program component of an initial set of three selected for evaluability assessment by the Evaluation and Audit Committee. This assessment report reflects the cooperation and assistance generously provided by the Director General of the Bureau of United Nations Affairs.

Chapter 2 of this assessment provides a description of the FPFC: United Nations Affairs program component, in terms of the organizational units involved, objectives, major activities and outputs, resources, clients and perceived effects. An evaluability profile is then presented which shows, in tabular format, the extent to which the component is considered to be evaluable, and the relative ease with which an evaluation can be done.

Chapter 4 then goes on to identify and to discuss possible methodological approaches to the design of the evaluation. An outline of the recommended design is put forward in terms of important parameters such as scope, approach, issues and resource implications. A limited number of alternatives or options are then discussed.

2. COMPONENT DESCRIPTION

2.1 Organization

The management of Canadian policy with respect to the activities of the United Nations system of organizations is vested in the Bureau of United Nations Affairs (UNP). This function includes coordination of provincial activities where appropriate and liaison with relevant non-governmental organizations in Canada.

Headed by a Director-General (presently Mr. Paul A. Lapointe), the Bureau comprises two operational divisions:

- (a) The United Nations Political and Institutional Affairs Division (UNO) has the task of assessing, on a continuing basis, the political implications of developments in the Security Council, the General Assembly or other United Nations organs, and of developing and coordinating Canadian policy toward U.N. related issues and initiatives. As well, it examines and coordinates Canadian policy and activity regarding the institutional development of the United Nations system. Finally, on behalf of Canada, it coordinates personnel management, financial and budgetary matters throughout the United Nations family of organizations;
- (b) the United Nations Social and Humanitarian Affairs Division (UNS) has as its field of responsibility the coordination of Canadian policy and activities concerning social affairs (status of women), refugee and emergency relief and human rights.

The Bureau reports to Senior Management through a number of channels: Assistant Under-Secretary J. Gignac for social questions, Assistant Under-Secretary A. Couvrette for political ones and eventually to the Under-Secretary through Deputy Under-Secretary K. Goldschlag.

The establishment of the Bureau goes back to 1971 when the Department of External Affairs underwent a major reorganization designed to "encourage the closest possible relations between the discharge of operational responsibilities and the continual development of the policy framework in which operations must be conducted" (Annual Report of the Department for 1971, page 1).

Prior to 1971 the United Nations affairs were handled, from 1945 to 1948, by the (now defunct) First Political Division which--inter alia--looked after Canada's multi-lateral relations and thereafter, by a United Nations Division when the Department was separated from the Office of the Prime Minister and organized under its own Minister.

The U.N. Affairs Bureau also has functional and line management responsibilities for the two U.N. Permanent Missions, at New York and Geneva. The Missions exist to maximize the opportunities that the U.N. and its system of organizations provide for the advancement and protection of Canadian interests through debate and multilateral negotiations. They are heavily involved in articulating Canada's positions, and lead or support its overall negotiating effort. They take responsibility for formally presenting Canada's positions at all U.N. bodies (exclusive of some specialized agencies) and for the success of negotiations that take place.

The Missions are given some latitude for dealing with unforeseen concerns as they emerge; the Bureau, however, is responsible for coordinating government policy and guidelines and for providing direction for the Missions' activities. In the context of program evaluation, the two U.N. Missions may be regarded as the "delivery" end of the United Nations Affairs program component.

The United Nations, with representation from almost every nation on the globe, is the world's principal centre for harmonizing the actions of nations. As the parent in the United Nations family of organizations, the United Nations Headquarters in New York is the world's most nearly universal and most important multilateral forum which brings together each fall at the beginning of the General Assembly Heads of Government or Foreign Ministers from the 152 Member States. The annual General Assembly provides an unparalleled opportunity for nations to express political views and to expose their leaders and decision-makers to the views of others. Through the General Assembly and its subsidiary organs, the priorities and objectives of the Organization and all of its dependent agencies and committees are established.

The Security Council is responsible for the maintenance of peace and security among the nations of the world. On economic matters, the General Assembly session is no longer the only significant instigator of work. Much of the economic related work now goes on in negotiations on a year-round basis, with reports submitted annually to the General Assembly itself, which is identified as the "supreme organ" of the U.N. in the economic and social fields.

The U.N. Headquarters is the primary focus of the process of harmonization of the actions of nations referred to above. Also at U.N. Headquarters, the administrative, budgetary, and personnel decisions are taken which affect all U.N. institutions throughout the world. Negotiations conducted here affect many aspects of Canada's international posture. The vital and often difficult issues with which the U.N. grapples can have very real and immediate political and economic implications for Canadians. It is for this reason that Canada maintains a Permanent Mission to the United Nations in New York.

Geneva hosts (i) the local (and main) Office of the United Nations in Europe; (ii) the headquarters of five specialized agencies of the United Nations (the International Labour Organization (ILO); the World Health Organization (WHO); the World Meteorological Organization (WMO); the International Telecommunications Union (ITU); and the World Intellectual Property Organization (WPO)); and (iii) the site of the Committee on Disarmament.

Over the years, Geneva has become increasingly a leading centre for multilateral activities intended to harmonize the actions and policies of governments. The United Nations Conference on Trade Development (UNCTAD) meets there as do the Contracting Parties to the General Agreement on Tariffs and Trade (GATT). The Multilateral Trade Negotiations also take place in Geneva.

As well, Geneva is home to many inter-governmental organizations and a host of non-governmental organizations. Their meetings and activities bear directly or indirectly on Canadian interest in the fields of security, trade, aid, development, humanitarian pursuits and social progress and, accordingly, require a Canadian presence for which the Permanent Mission is primarily responsible.

Similarly, the Bureau supports and directs certain other posts which look after U.N. related activities, e.g., London for IMCO, Rome for FAO, Vienna for IAEA and UNIDO. It also exercises a "droit de regard" over the activities of Canada's Permanent Delegation to UNESCO in Paris.

2.2 Resources

A three-year picture of U.N. Affairs program personnel and financial resources follows:

| (a) <u>Person-Years</u> | 79/80 | 78/79 | 77/78 |
|----------------------------------|------------------------|-------------------|-------------------|
| Authorized (HQ) | 18 | 21 | 22 |
| Approximate (Posts) | *76 | 78 | 82 |
| TOTAL | <u>94</u> | <u>99</u> | <u>104</u> |
| | | | |
| (b) <u>Expenditures (\$000)*</u> | | | |
| Operating (excl. salaries) | not provided by Bureau | | |
| Capital | " | " | " |
| Grants and contributions ** | <u>58,792</u> | <u>52,139</u> | <u>43,091</u> |
| TOTAL | <u> </u> | <u> </u> | <u> </u> |

2.3 Mandate

The program's mandate flows from Canada's treaty obligations (as a signatory of and party to the Charter of the United Nations and of the constitutions of each of its specialized and affiliated agencies), as sanctioned by Canadian laws: the United Nations Act (RSC 1970 c. U 3) and Orders-in-Council issued thereunder.

* Permanent Missions in New York and Geneva (excluding the delegation to the Multilateral Trade Negotiations) have approximately 36 and 40 person-years, respectively, in 1979/80.

** Generally speaking, Canada's contributions to the United Nations fall into three broad categories: (a) annual assessments to finance the appropriations of (i) the Organization itself, and (ii) each of the specialized agencies (under its regular budget); (b) voluntary contributions to the activities of a variety of multilateral economic, social and humanitarian programs, and (c) peacekeeping contributions. The grants and contributions are specified in Appendix A.

2.4 Objectives

The broad national policy objectives of Canada are dynamic. U.N. specific objectives are similarly set purposely broad to allow for flexibility in priority setting in an everchanging international environment.

Nevertheless, certain themes are constant. Chief among these are national sovereignty and independence; peace and security; national identity and unity; social justice; quality of life; and economic growth. These themes were confirmed in the 1970 major review of foreign policy.

Canada sees the United Nations as a vehicle for pursuing such objectives as:

- enhancing the social and economic development of member nations;
- working to stop the arms race;
- promoting peacekeeping and peace-making;
- pressing for the achievement of racial equality in Southern Africa;
- taking measures to prevent further deterioration in the human environment;
- promoting international cooperation in the peaceful uses of satellite systems;
- promoting international cooperation in the preservation of marine resources and the use of the seabed;
- promoting observance of human rights;
- contributing to the progressive development and codification of international law;
- projecting Canada as a bilingual country;
- contributing to the institutional development of a centre for harmonizing the actions of nations.

A basic tenet of Canadian foreign policy is to continue actively to strengthen the United Nations system as an effective instrument for international cooperation, and

in particular to improve the capacity of the United Nations to discharge its Charter responsibilities. According to Article I of the Charter of the United Nations, the aims of the Organization are fourfold: to maintain international peace and security; to develop friendly relations among nations; to achieve international cooperation; and, to this end, to make the United Nations a centre for harmonizing the actions of nations. In a sense, the United Nations' objectives are a composite of the national interests of member states. Each power has its own views, its own interests, its own client governments to defend, its own face to save. The United Nations' role is to promote and produce accommodations between such diverging points of view through patient negotiation and diplomacy.

The United Nations Affairs program must operate within this context. Its broad objectives are thus:

- to further Canada's objectives at the United Nations;
- to aid in the formulation of government policies to this end, both in terms of what the policy itself should be and when and how to present it;
- to assess political implications of developments at the U.N.;
- to coordinate and to liaise with other government departments and other governments in order to maximize the opportunities offered through the U.N. for advancing a broad range of national goals and to make effective use of these opportunities;
- to articulate Canada's position on a particular issue so as best to reflect the country's interest in the matter; and
- to protect Canada's interests as a sovereign state and in its relations with foreign countries.

2.5 Activities and Outputs

With a view to formulating, refining, and coordinating Canadian policy, or identifying new areas of concern for Canada, either in compliance with government initiative or in response to the needs as perceived by the U.N. Affairs staff, and with a view to presenting the policy position at the most opportune time and in the most opportune manner to the U.N. and the Canadian public, the activities of the United Nations Affairs program include:

- (a) collecting information on useful precedents in a given matter by searching in records (both United Nations and departmental, files, books and publications);
- (b) coordinating Canadian input to policy formulation, policy positions and activities in U.N. related areas;
- (c) consulting, orally or in writing, with interested Bureaux, both federal and provincial level government departments and with experts, interested groups and organizations;
- (d) providing advice to senior management on new courses of action (initiatives) Canada should take at the United Nations and its related organs;
- (e) assessing political implications of UN developments;
- (f) preparing briefs for the attention of the Prime Minister, Cabinet, the Minister and the Under-Secretary as required;
- (g) preparing position papers to be approved by the competent authorities for the guidance of Canadian delegations on political, social and humanitarian, administrative and budgetary items to be considered and with respect to the elections to be held at the above-mentioned meetings and issuing the necessary (voting) instructions;
- (h) preparing briefs, as appropriate, for guiding Canadian delegations to existing bilateral consultations on United Nations political, social and humanitarian, administrative and budgetary matters;
- (i) consulting with foreign U.N. delegations, both formally and informally,
 - (i) to influence member countries' policies and attitudes in a sense favourable and beneficial to Canadian interests;
 - (ii) to make the international community benefit from the Canadian experience;
- (j) ensuring and coordinating Canadian attendance at and participation in various U.N. sponsored or related

conferences and meetings of relevance to Canada (apart from questions of policy, this involves such activities as selecting representatives, making required administrative arrangements, providing introductory pre-conference briefings, preparation of credentials, etc.);

- (k) following-up on decisions and recommendations of conferences and meetings at which Canada was represented;
- (l) preparing assessment reports of Canada's role at past conferences and meetings with a view to improving Canada's stance at future sessions;
- (m) preparing answers to actual and anticipated parliamentary questions;
- (n) answering queries from the public;
- (o) attending to sundry public affairs and activities in Canada related to the United Nations, such as United Nations Model Assemblies, meetings of the United Nations Association and special sessions of the Canadian Institute for International Affairs (CIIA) and its French-speaking counterpart, university seminars, visits of ranking United Nations officials, etc.;
- (p) publicizing Canada's role at the United Nations, in the specialized agencies, special bodies and related organs by means of articles, pamphlets, etc.

To a large degree, the activities of the Bureau and the U.N. Missions are determined by the schedule of conferences and meetings of the United Nations for the calendar year. No less than 249 such conferences and meetings were scheduled in both New York and Geneva for 1980 (United Nations Document A/AC/172 of May 31, 1979). Although attendance at many of these meetings is obviously elective, Canadian attendance and coverage of the General Assembly, its committees, commissions and subsidiary organs is considered to be mandatory. Peace and security and their natural concomitant, international cooperation, are the Assembly's prime concerns. Events happening in the world and the way in which they could or will affect peace and security will accordingly determine sessional Assembly interests and activity. These events as well as Government or Ministerial action and direction will in turn determine the priorities of the U.N. Affairs program.

In ordinary times, some six months (August to January inclusive) are taken up with the work involved in preparing for, following, and then reviewing the activities of regular Assembly sessions. The rest of the year is taken up with Canadian involvement in the activities of the Economic and Social Council and its subsidiary organs, the special bodies of the United Nations and the specialized agencies. Work will increase or decrease according to whether or not Canada is a member of the Council, on the executive organs of its subsidiary bodies or those of the specialized agencies. Membership in the Security Council will, of course, place additional demands on program resources.

2.6 Clients

The ultimate client of the United Nations Affairs program is clearly the Canadian public. One of the intended effects of the program is thus to see that people, both at home and abroad, know and appreciate what Canada's position is at a specific time on a specific issue. Apart from the general public, whether as individuals or groups, other clients range far and wide. They include:

- posts abroad: in most of the NATO countries, in Moscow and Peking, in Stockholm and in such capitals as might gainfully be contacted for an expression of views on a given subject or point at issue in one or another of the United Nations fora;
- senior management: to keep them informed on the subjects or questions at issue;
- other Bureaux: political, functional and administrative bureaux will be interested in the outcome of United Nations deliberations on issues falling within their purview;
- other federal departments, such as PCO and PMO, CIDA, CEIC, Labour, Communications, Environment, ITC;
- provincial departments of inter-governmental affairs, justice, education, culture, etc.;
- foreign governments: in publicizing Canada's role and position, all missions to the United Nations family of organizations will be circulated with the text of Canada's announced position on the main issues of the day;

- international agencies: members of the United Nations family of organizations to which Canada belongs will be automatically informed of Canada's position on issues of interest to them;
- other non-governmental organizations having consultative status with United Nations organizations.

2.7 Perceived Impacts or Effects

There are at least two perspectives, quite different in scope, with which one might discuss the effects or impact of the United Nations Affairs program. The more ambitious one is essentially global in nature: what have been the effects on Canada in particular, and on the world in general, of Canada's participation in the United Nations and its affiliated organizations? The much more limited perspective would look only at the "secondary" or intermediate effects of the current program design.

Among the 152 countries contributing to the United Nations, Canada ranks sixth, seventh or eighth in total contributions. The image of Canada which has been created has led to the country or its representatives being elected to a number of important posts within the system, and invited to participate in many of its activities. Canada has both made many friends and gainfully influenced a number of delegations within the membership of the organization. Among the countries where Canada has made a significant impact, one might note those of the old Commonwealth, Norway and Sweden, and, to a lesser degree, Denmark and Finland; Bangladesh, China, India, Malaysia and Pakistan; and of course, the recipients of Canadian aid from the Commonwealth, francophone Africa and the Caribbean.

It must be recognized that the identification of the actual effects of Canada's achievements (and non-achievements) in the United Nations is a study of considerable magnitude and difficulty in itself. Some of the more important perceived changes resulting from Canada's U.N. involvement, however, are noted below:

- (a) The scale of Canada's grants and contributions to the United Nations system and its various social and economic aid and development programs has netted Canadian firms a number of worthwhile contracts for the supply of needed goods and services. Thousands of Canadians from federal and provincial government

services, universities and industry, have worked in United Nations development programs in all parts of the Third World. As well, Canadian expertise in the fields of agriculture, communications, fisheries, education, environment, health, housing, labour relations, mapping and surveying, social welfare, statistics, transportation, etc., has been highly prized as may be seen from the number of Canadians in the employ of the United Nations;

- (b) Canada's extensive involvement in the development at the United Nations of a comprehensive legal regime governing the seas and the seabed led to the establishment by Canada in 1964 of a three-mile territorial sea and a nine-mile fishing zone. In 1970, the territorial sea was extended to 12 miles and exclusive fishing zones were created in the Gulf of St. Lawrence and the Bay of Fundy and certain areas of the Pacific coast. In 1970 also, Canada took action to protect its extremely vulnerable Arctic marine environment by enacting the Arctic Waters Pollution Prevention Act. On January 1, 1977, the fisheries zones of Canada on the east and west coasts were extended from 12 to 200 miles, followed in March by a similar extension in Arctic waters;
- (c) In the humanitarian field, approximately 10% of the immigrants to Canada since 1946 have been refugees or members of oppressed minorities. Most of the principles set forth in the 1948 Universal Declaration of Human Rights have long been recognized in Canada: the Declaration is cited specifically in a number of provincial statutes;

Certain other perceived effects, on the other hand, are rather more limited in scope and result from the current design and execution of the program itself. As examples of these, one might suggest:

- (a) a single, coordinated Canadian position on U.N. related issues presented to the rest of the world;
- (b) good federal/provincial understanding and relations on such issues;

- (c) well briefed Senior Management and Cabinet on the issues at stake, perceived courses of action and likely reactions;
- (d) well briefed and adequately supported Canadian representatives or delegations at all significant meetings, conferences, etc., sponsored or affiliated with the U.N. family.

Two desirable effects, which continue to retain the attention of the Bureau, are (a) a public well informed - through the media - of major issues arising at the United Nations and Canada's role or position with respect to each, and (b) greater involvement by voluntary organizations interested in one or another of the United Nations' activities, in the formulation of Canadian policy with regards to these activities.

2.8 Data Bases

Potential sources of existing data for an evaluation of the U.N. Affairs component include:

- a list of grants and contributions to the United Nations system;
- the voting record at the Assembly, the Security Council and the Economic and Social Council;
- a list of resolutions (and amendments thereto) introduced or sponsored by Canada;
- a list of conferences and meetings attended and an indication of committed work by the Canadian representation;
- miscellaneous briefs, position papers, commentaries, speeches, press releases and reports on conferences attended and results achieved;
- references to Canada and the effectiveness of its role at the United Nations, published in journals, periodicals, and newspapers (both Canadian and foreign).

2.9 Existing Evaluation Mechanisms

There has not been a previous comprehensive and independent evaluation of the United Nations Affairs program. On the other hand, certain activities and certain of the organizational units involved are subjected to both periodic and ad hoc reviews for

specific purposes. Some of the more important of these are:

- (a) ICERIS periodic inspection reports of both U.N. Missions at Geneva and New York (emphasis on resources and controls);
- (b) periodic in-house reviews of the effectiveness and the value of continued support of certain U.N. sponsored programs (e.g., peacekeeping);
- (c) regular post-conference reviews and evaluations for major conferences (including the UN General Assembly); and
- (d) the 1978 internal review and re-assessment of all U.N. affiliated grants and contributions.

In addition, some months ago, the then Secretary of State for External Affairs announced the Government's intention to review Canada's foreign policy. This review which was to include a re-assessment of Canada's objectives at the United Nations was eventually to be referred to the Parliamentary Committee for Foreign Affairs for consideration and comments prior to being submitted to Cabinet for final approval and publication.

3. EVALUABILITY PROFILE

The evaluability profile on the next page (Table 1) presents an assessment of various factors related to the FPFC: United Nations Affairs program component. There are five groupings of factors, namely, objectives, nature of the process, operational outputs of the process, effects of the process, and availability of data.

Three descriptors accompany each factor arranged to reflect (left to right) the degree of difficulty of carrying out a full effectiveness evaluation. The circled descriptors express the collective judgement of the evaluability assessment team, and the set of circled descriptors for all factors gives a profile for evaluability. Sometimes, because of the range of activities, more than one descriptor will be circled; each applies to a different set of subprograms.

If all the circled descriptors are in the first column, then the implication is that the program is (or can be) sufficiently well-defined and enough information is available (or can be collected) to carry out a full effectiveness evaluation. In fact, one might still carry out such an evaluation if the profile has some factors in the second column. However, if there are certain circled descriptors in the third column, one may be constrained to a process or a conceptual evaluation, at least until such time as some necessary "front-end" work has been undertaken.

Similarly, if some descriptors are circled in the second, or third columns, but certain essential ones are in the first column (e.g., process and outputs), one may carry out a process evaluation.

However, if all the circled descriptors lie in the third column, one is likely to be restricted to a conceptual evaluation. In many cases this conceptual evaluation might give rise to recommendations pertaining to objectives clarification or performance measurement systems (for instance) which would facilitate "higher order" evaluations later.

The basic assumption is that a conceptual evaluation is possible for any program component. The evaluation team used the evaluability profile to assess whether it is also feasible to carry out either a process evaluation or an effectiveness evaluation.

TABLE 1: EVALUABILITY PROFILE: UNITED NATIONS AFFAIRS

| FACTORS | DESCRIPTIONS | | |
|--|--|---|---|
| <p>1. <u>Objectives</u></p> <ul style="list-style-type: none"> - nature - potential for quantification - status | <p>clear</p> <p>high</p> <p>given</p> | <p>fuzzy</p> <p>medium</p> <p>imputable</p> | <p>obscure</p> <p>low</p> <p>hard to impute</p> |
| <p>2. <u>Process</u></p> | <p>well defined, measurable</p> | <p>complex, difficult to measure</p> | <p>randomly driven</p> |
| <p>3. <u>Operational Outputs</u></p> <ul style="list-style-type: none"> - nature - status | <p>clear, measurable</p> <p>OPMS or equivalent</p> | | <p>non-measurable or irrelevant</p> <p>not monitored</p> |
| <p>4. <u>Effects</u></p> <ul style="list-style-type: none"> - nature - links to outputs - status | <p>identifiable, measurable</p> <p>control of push by HQ strong</p> <p>evident</p> | <p>identifiable difficult to measure</p> <p>weak</p> <p>deducible</p> | <p>difficult to identify</p> <p>weak impact vague</p> <p>indeterminate</p> |
| <p>5. <u>Data</u></p> <ul style="list-style-type: none"> - nature - status | <p>for efficiency quantifiable</p> <p>exist</p> | <p>qualitative</p> <p>obtainable with reasonable effort</p> | <p>for effectiveness highly subjective</p> <p>difficult to obtain image to foreign gov'ts</p> |

4. EVALUATION DESIGN

4.1 Approach

There are essentially three different types of program evaluation. The first of these, a conceptual evaluation, requires a program to meet the least stringent conditions. It is not necessary to be able to articulate the objectives in a form amenable to measurement, to establish concrete links between activities and their effects, or to have the program effects insulated against influences by events outside the control of the program manager.

An evaluation of this type normally includes an examination of the program mandate, its activities, outputs and effects, and the questioning of the implicit links between these. It is likely to emphasize the identification and study of basic alternatives, and of major issues related to the program. Such an evaluation relies primarily on subjective determinations.

On the other hand, a process evaluation can be carried out when the activities are coherent, the process is reasonably well defined and stable over time, and both the process and the outputs are amenable to measurement. A process evaluation is undertaken with a view to improving the operational processes of the organization with possible resource savings. In many respects, it may be similar to a broad operational audit, but the emphasis is on alternative ways and resource levels for carrying out the process with greater efficiency or economy, rather than on the adequacy of the particular existing systems, procedures and controls.

Finally, an effectiveness evaluation is principally concerned with the program effects or impacts and the extent to which they achieve program objectives. In order to perform such a study, both objectives and effects must be clear and a causal link between activities (or outputs) and effects must be discernible. An effectiveness evaluation can be used to find improvements leading to greater future effectiveness or to a reassessment of the resources devoted to the program (i.e., changing its priority) in the light of its current effectiveness. This type of evaluation is generally founded on methodological rigour and large amounts of empirical data.

Unfortunately, the nature of the United Nations Affairs program and its evaluability profile virtually preclude any attempt to derive quantitative measures of effectiveness. Similarly, the opportunities for increased efficiency, although they should not be ignored, do not appear to warrant an evaluation directed primarily at questions of process.

Consequently, the recommended evaluation approach is to integrate an overall conceptual evaluation with a more in-depth but still largely subjective assessment of certain aspects of efficiency and effectiveness. The latter will be addressed in terms of specific issues requiring more detailed study.

Every effort will be made to ensure effective use is made of all available information and related previous studies or reports (e.g., ICERIS inspection reports on the Permanent Missions).

In the following sections, the proposed evaluation design will be discussed with respect to each of the following parameters:

- (a) scope;
- (b) issues;
- (c) methodology;
- (d) resource requirements;
- (e) alternatives.

4.2 Scope

The evaluation study will focus on the Bureau of United Nations Affairs, and the two U.N. Permanent Missions. Organizationally, these will define the limits of the program component. Everything else, including the United Nations itself, will be considered part of its environment. For instance, other Bureaux within External Affairs are responsible for policy development and coordination and subject matter expertise in such U.N. related areas as disarmament, trade, economic issues and science and technology, but they will not be evaluated as part of the study. Nevertheless, personnel from these organizations are likely to be interviewed.

Insofar as the United Nations Affairs Bureau coordinates policy input on U.N. matters on behalf of External Affairs, as many groups as possible who provide or want to provide input to the policy development process will be canvassed. These groups would include other government departments, such as Finance and Industry,

Trade and Commerce, CIDA, provincial ministries, academics and organizations that actively support the U.N. Indeed, to varying degrees virtually all the "clients" previously identified, including the general public, should be included within the physical scope of the evaluation.

Similar delineation of the proposed evaluation scope must be made in terms of the type of issues to be addressed. It is important, particularly in an area such as U.N. Affairs (where one may visualize a hierarchy of concerns ranging downward from the effectiveness of the U.N. itself), to clarify what is going to be evaluated, and conversely, what is not.

There are a number of topics of considerable interest related to Canada's participation in the United Nations which are beyond any logical scope for a program evaluation. Any evaluation of the U.N. itself, for instance, is well beyond the intended scope of this study, as indeed are related questions such as whether the U.N. is an effective vehicle for the pursuit of Canada's foreign policy objectives.

Similarly, questions of policy substance do not fall within the proposed scope of this study. Questions as to what should be Canada's policies and objectives with respect to the U.N., and of which U.N. agencies and affiliated organizations Canada should be a member, and whether Canada should focus primarily on multilateral or bilateral relations respecting aid to developing countries, are all essentially policy questions. These are much better addressed explicitly in a policy review, preferably at very senior levels of government.

The rather more limited scope of the proposed evaluation, described in the following section, may nonetheless provide useful input to such policy questions.

4.3 Issues to be Addressed

The major thrust of this evaluation will be directed to resolving specific issues of concern respecting either how well or how efficiently the United Nations Affairs program performs in certain dimensions, or to assessing the possibilities for improvement by doing certain things differently. Those issues which it is initially proposed to study are discussed below: the first is of an umbrella nature, while the others are more narrowly focussed. Certain other specific issues

may be identified during the course of the conceptual overview.*

(a) Clarification of Objectives and Review of Program Design

Given an assumed continued Canadian commitment to the United Nations, perhaps the most fundamental issues to be addressed by the proposed evaluation will be those relating to the current program design of the U.N. Affairs component, and to the concomitant questions of organizational responsibility and resource allocation. Clarification of the specific program-level objectives (e.g., to what extent should U.N. Affairs attempt to foster close relations with the public, the interested academic community and voluntary organizations?) would be the first step in this main thrust of the evaluation. Major activities or processes within the program (e.g., the formulation and the "marketing" of policies or positions respecting U.N. issues) would then be reviewed critically against these objectives, with a view to identifying possible changes that would lead to increased efficiency or effectiveness. This might involve relatively small changes in a given process (e.g., for coordinating representation at U.N. sponsored meetings), or consideration of fundamental alternatives such as not doing certain things at all, of transferring certain responsibilities to other organizational units, or perhaps even of assuming responsibility for additional tasks now performed by other Bureaux. At a conceptual level only, one would also assess the existing allocation of responsibilities and resources within the U.N. Affairs component (i.e., among the Bureau and the two Missions). Special consideration will be given to the effects of and opportunities offered by predictable, seasonal changes in the nature and volume of work.

(b) Coping with Changing Priorities

At any one point in time, the Bureau of U.N. Affairs has a set of priorities for the tasks that it has to

*It should be emphasized that this set of issues is only a proposed one, based on a rather brief evaluability assessment. It is the prerogative of senior management to select from it or add to it.

do. Some of these tasks are carried out at the Bureau's initiative, others in response to outside needs, e.g., situations emerging at the U.N. or Minister's requests. Staff are assigned to work on these tasks. However, other countries raise new issues at the U.N. in response to their own needs. Canada or, in effect, the U.N. Affairs program, must develop its response to these new issues very quickly, usually within a matter of days. Priorities must be altered. This is the program's normal operating environment. How does it balance its need to develop a response with its desire to carry on with its own initiatives? What are the effects of changing priorities? How can disruptive effects be minimized, and how can the response time to new priorities be improved?

(c) Staffing

It is claimed that working on U.N.-related matters requires special expertise. The U.N. Affairs program must distribute its expertise among the two headquarters Divisions and the two Missions. During times of budgetary restraint when additional officers are not available, this becomes a particularly difficult task although the program is generally given some priority within the context of the External Affairs job rotation scheme. How should U.N. Affairs officers be selected? What kinds of skills, expertise and attitudes are potential officers expected to have? What kinds of expertise are required by the Missions? What are the implications of "streaming" U.N. Affairs officers? Would "streaming" facilitate long term planning and priority setting? Can more reliance be put on university professors or post-graduate students to temporarily fill staffing gaps?

(d) Monitoring of U.N. Related Meetings

U.N. Affairs has the responsibility of monitoring political developments at the various U.N. committee meetings, and at meetings of various affiliated organizations. Even if not a member, Canada is generally granted observer status at these meetings upon request. However, because of lack of staff and the continuing creation of new committees, Canada cannot monitor all the meetings. How should the selection be made of which meetings to attend, by whom? What coordinating/secretarial role should U.N. Affairs play? To what extent need U.N. Affairs

be informed of proceedings at meetings which it does not attend? How necessary is it for U.N. Affairs staff to attend meetings personally, and what criteria should be applied?

(e) Consultation with Academia

The U.N. Affairs program seeks expertise on U.N. matters from outside of the government. One important source is university professors. At times they tend to be outspoken and critical, but they are very knowledgeable about government policy and the functioning of the U.N. Is the Department taking full advantage of this expertise? Aside from hiring university professors to fill gaps in staffing, is it possible to obtain more useful advice and information from university professors? What kinds of mechanisms could be instituted to facilitate this? And would stronger ties with academia be likely to result in other benefits?

(f) Promoting Public Understanding of the UN

The ultimate client of the United Nations Affairs program is the Canadian public. Yet the general public has virtually no involvement in policy development, and likely has very little information about the role and benefits of the U.N., or about Canada's contribution or positions it adopts. There is concern that the public's opinion is guided mainly by news, too often originating from sources other than Canadian, of dramatic U.N. failures and of Canada's large financial contributions. Neither the media nor Members of Parliament seem to present the U.N. in a particularly favourable fashion. There are a number of reasons for this: the Canadian media do not maintain permanent correspondents at U.N. Headquarters; by and large, MPs do not understand the Organization's purpose or how it works.* Should (and could) the program use the media and Members of Parliament, especially those who have been sent to the UN's General Assembly as observers, to promote a better understanding of the U.N. among Canadians? How?

(g) Role of Provincial Governments

The government appears to be encouraging a policy of greater consultation between itself and provincial

* There are, of course, exceptions.

governments. Although foreign policy remains the prerogative of the federal government, there is much more federal-provincial consultation on matters related to foreign policy and to matters that are of direct concern to the U.N. and its system of organizations. Furthermore, provincial governments are expanding their dealings with foreign countries in matters of culture, education and even trade. Thus, for the U.N. Affairs program to be effective, it must now take into account the expanding opportunities (and perhaps desire) for provincial governments to impact the Federal role in the U.N. How much consultation, and of what nature, should the Bureau have with provincial governments? To what extent do governments try or are likely to try to circumvent External Affairs? Can the program represent provincial interests at the U.N. without conflicting with federal interests? What are the implications of possible provincial initiatives in their area, both in the U.N. and on federal-provincial relations, and what can or should be done in response?

(h) Fostering Bilateral Relations

The U.N. is a multilateral organization and presents opportunities for multilateral cooperation. The U.N.'s annual General Assembly is the world's most nearly universal and most important multilateral forum. It provides an unparalleled opportunity for nations, including Canada, to express political views and to expose their leaders and decision makers to others. But, the U.N. also provides an opportunity for fostering and initiating bilateral relations with other countries.

Furthermore, when Canada is seeking support for an issue at the U.N., it generally deals with foreign countries on a one-to-one basis. In doing so, it must take into account Canada's overall bilateral relations with these countries. Thus, the U.N. Affairs program has an important role to play in bilateral relations. How effective is it in fostering bilateral relations at the U.N. and its system of organizations? How much coordination does it have with the political Bureaux and how might U.N. opportunities be used to better advantage for fostering desirable bilateral relations?

(i) Canada's Image at the U.N.

Implicit in the Canadian government's broad policies and objectives is the desire that Canada should have a good image at the U.N. and be respected by its fellow members. It is the responsibility, of U.N. Affairs to foster that image at the U.N. and its various meetings. That image may partly be due to the U.N. Affairs' success in dealing with foreign delegations, and its ability to recommend image-enhancing policy positions to the government. It is almost certainly also due to certain exogenous factors, such as the fact that Canada is generally regarded as a disinterested, moderate and impartial western nation. Is there any way to measure Canada's impact at the U.N. and its system of organizations? How is Canada's image acknowledged? To what extent can Canada's image be attributed to the design of the U.N. Affairs program, or to the officers who deliver it?

4.4 Methodology

As noted previously, the first major task of the proposed evaluation design will be to undertake a conceptual overview of the United Nations Affairs component as defined. This will directly address the major issues of objectives clarification and program design, and will also contribute to the more specific issues identified in the previous section. A small number of other issues may also be identified at this time as requiring more detailed study.

The basic methodology proposed for this evaluation is a combination of a small amount of conceptual modelling of major elements of the U.N. Affairs program, the focussing of most of the effort on certain specific issues, the assessment of alternatives, and a fairly extensive but efficiently designed and structured interview program with knowledgeable persons, both inside and outside government. Of necessity, it will rely more on the perceptions of individuals involved with or concerned with the program than on the analysis of "hard" statistical data. It is anticipated that there will be considerable overlap among many of the issues, but this will be reflected in the detailed design of the evaluation and in the resources required.

The proposed approach to each of the issues identified in the previous section is discussed in general terms below. A small number of alternatives is then considered in section 4.6.

(a) Classification of Objectives and Review of Program Design

The clarification of program-level objectives and an assessment of the adequacy and appropriateness of the program design intended to further their objectives will be two of the main concerns of the conceptual overview of the program.

This step will require significant interaction between the evaluation team, senior managements and U.N. Affairs staff, both in headquarters and the Permanent Missions. Other Bureaux involved with U.N. matters, representatives of other government departments, and perhaps a small sample of interested academics will be interviewed.

Significant activities and outputs of the program will be identified and classified, and related to their perceived effects and objectives. Conceptual models of the processes or procedures involved may be developed as appropriate, and both procedural and organizational alternatives will be comparatively assessed. The allocation of responsibilities and resources among the two headquarters Divisions and two Missions will also be reviewed.

Much of this conceptual assessment, both by definition and by necessity, will be subjective. It will, however, be independent and every effort will be made to introduce as much objectivity as is practicable. Estimation of the proportions of total available time spent on various activities are likely to be necessary, for instance, but staff will not likely be requested to maintain detailed time recording logs.

(b) Changing Priorities

The issue of coping with changing priorities deals with the necessity and ability of the U.N. Affairs program to react quickly to external events, and with the potential conflict of having to react to sudden emergencies by suspending work on its own initiatives of perhaps higher longer-term priority. The issue will be addressed through interviews with officers in both headquarters and in the Missions, in an attempt to

(e) Consultation with Academia

There is concern as to whether Canada takes full advantage of the expertise available from learned institutions and university professors. This issue will be handled by interviews with U.N. Affairs officers and university professors. Persons interviewed will be asked on their views of the practicality of seeking more advice from professors. They will also be asked to identify the advantages and disadvantages, including resource implications, of formalizing a mechanism for more consultation. As well, a brief investigation of the consultative role of professors in other countries will be carried out. Specifically, the United States, Britain and possibly one or two other western nations will be approached. Again, the intention would be to interview these countries' U.N. delegations in New York. The study would then be able to draw some conclusions as to what might be an appropriate and feasible approach for the U.N. Affairs program.

(f) Promoting Public Understanding

The issue of promoting public understanding of the U.N. will be addressed by interviewing U.N. Affairs managers, Public Affairs officers, representatives of the media, officers of the United Nations Association of Canada, university professors, and recognized experts in the field. As well, Members of Parliament would be interviewed if possible. Also, the issue will be addressed by reviewing recent media coverage of the U.N. to determine what slant or bias is presented to the public. Persons interviewed will be asked for their views on public awareness of Canada's involvement with the U.N., and how to promote better or more favourable understanding. Again, U.N. delegations from selected western nations may also be asked how they promote a more favourable understanding.

(g) Role of Provincial Governments

The issue of provincial involvement will be addressed through a set of interviews with United Nations Affairs officers, federal-provincial experts, representatives of provincial governments and some university professors. Persons interviewed will be asked for their views on this issue. The aim of the study is to determine the different expectations of the parties and the extent of the problem. As well, the study is intended to provide an indication of the extent of conflict of loyalties facing U.N. Affairs if it tried to serve both federal and provincial interests.

(h) Fostering of Bilateral Relations

Only certain aspects of the fostering of bilateral relations can be addressed because of the difficulty in defining precisely what is meant by "fostering". The recommended approach is twofold. First, information would have to be collected on roughly how much time is spent by U.N. officers, both at headquarters and at the Missions, in dealing with delegations specifically on bilateral relations. In order to gather the data, operational categories for dealing with delegations will have to be specified. The aim of this part of the study is to get an indication of the current effort in this area.

The second step is to try to impute the effects of this effort. This will be done by interviewing U.N. Affairs officers, other government officials who have some experience and interest in this area (e.g., CIDA, ITC, etc.) and perhaps some university professors and other recognized experts in the field. Persons interviewed will be asked for their impressions of any concrete impact that U.N. Affairs efforts have had or could have on fostering bilateral relations. The results will likely be very subjective, but nonetheless will provide some insight into the significance of this aspect of the U.N. Affairs role, both as it is and as it might be. The study should conclude whether or not more time should be spent on bilateral relations, and how.

(i) Canada's Image at the U.N.

The issue of how to enhance Canada's image at the U.N. is of concern both to the government and to the U.N. Affairs program. The recommended approach for addressing this issue is twofold. The first step is a set of interviews with U.N. Affairs offices, other External Affairs officers with relevant experience, outside experts from the CIIA and the Parliamentary Centre for Foreign Affairs and Foreign Trade and university professors. Persons interviewed will be asked for their impressions on what is Canada's image at the U.N., why it is so, and in what way Canadian policies or the actions of the U.N. Affairs officers, particularly at the Missions, may have contributed to this.

The second part of the approach is to analyse data on how often Canada has been invited to be a member of various U.N. Committees or affiliated organizations. A similar analysis will be carried out on how often

Canada sought membership and was elected, out of turn or without having been invited. The data on Canada would then be compared to similar data from selected countries. The aim of this part of the study would be to obtain a quantitative indication of Canada's image relative to that of other countries.

4.5 Resources

It is proposed to undertake this evaluation using a team approach. Acting under the direction of the Director of Evaluation, the team would be led by an experienced evaluation consultant under contract to EAP. Because of the conceptual nature of the evaluation, however, and the familiarity with both the United Nations and the unique role of the U.N. Affairs program that is obviously desirable, the greater part of the evaluation would be performed by EAP staff. To provide a broader and perhaps more objective perspective, and to enhance the "outside" credibility of the study, a university professor of recognized stature should also be engaged to assist in the evaluation on a part-time basis.

Taking into account the significant overlap that exists among the issues, the resources required to complete the proposed evaluation are estimated as follows:

- (a) one experienced program evaluation manager for design and planning assistance, technical supervision, training, and limited participation in the execution of the study - 10 persons-weeks at roughly \$18,000;
- (b) one full-time and one part-time EAP officer to provide the main thrust of the evaluation - 24 person-weeks;
- (c) one part-time university professor to assist in certain aspects of the study - 5 person-weeks at roughly \$6,500;
- (d) travel funds (one trip, two people to the New York Mission; one trip, one person to the Geneva Mission; one multi-stop domestic trip, one person to interview university professors, etc.) - \$7,000

The total estimated non-salary cost of the evaluation, as proposed, would thus be in the order of \$25,000 for professional services and \$7,000 for travel. This cost

would vary somewhat (but perhaps not significantly) if the number or type of issues to be addressed was changed. Total elapsed time for the evaluation is estimated to be about five months.

4.6 Alternatives Considered

A number of alternatives to the proposed evaluation design were considered, but rejected primarily on the grounds of costs. Most involved different ways to do the same thing slightly better; one involved an entirely new and quite ambitious thrust. Each is discussed below.

- (a) The first alternative relates to a preferable, but more costly approach to collecting information and perceptions pertaining to a limited number of the issues identified, where a wide range of input is desirable (e.g., promoting public understanding). Establishing a panel of experts and supplying the Delphi survey technique to assess perceptions and alternatives, in a more structured fashion than is possible with a small number of individual interviews, would be technically preferable in some areas of concern. However, this approach would significantly increase the cost and duration of the evaluation, and it is unlikely that the Delphi results would warrant the additional cost.
- (b) A second alternative is to develop and sponsor a symposium on maximizing effectiveness at the United Nations during periods of budgetary constraint. U.N. delegations from a select few western countries would be invited to send representatives, and university professors from Canada and abroad would be invited to attend as well. During the symposium, attendees would have opportunities in organized sessions to raise concerns such as the issues discussed in this report, and discuss ways of resolving them. The symposium could possibly eliminate the need for a portion of this. However, the idea was rejected because it would be costly, difficult to ensure attendance of desired persons, and possibly would not lead to any useful results.
- (c) To provide some background information on the level of the public's understanding of the United Nations, it is possible to conduct a national survey in Canada. The survey would collect socio-economic data on respondents and determine

thier views and awareness of the U.N. and its system of organizations, and of Canada's involvement. Such a survey would be fairly simple to design, and to minimize costs could be "piggy-backed" on one of the regular monthly national "omnibus" surveys conducted by the private sector. Total costs would still likely amount to at least \$15,000, however, and the value of the information collected is (at this point) uncertain.

- (d) The fourth rather more ambitious alternative would attempt to evaluate the cost and benefits or utility of being a member of particular U.N. agencies such as ILO or UNESCO, or of providing financial support to particular U.N. programs. This alternative would use the same basic approach as in the recommended study, namely, interviews with a wide range of experts both in and out of the government, and with some foreign experts as well. All available data, both quantitative and qualitative, would be collected and assessed. The evaluation emphasis would not be on the program or organization itself, but on the benefits Canada derives from its membership or support. Although an idea well worth considering, the alternative was rejected because it is more of a policy evaluation than a program evaluation and should be carried out as part of a broader review of membership in U.N. affiliated programs and organizations.

Such evaluation(s) would also be quite expensive in many cases, and it is doubtful whether External Affairs could (or should) undertake one except in close cooperation with the other government departments more directly aligned with a particular agency (e.g., Labour Canada for the ILO).

ANNEX A

CANADA'S FINANCIAL CONTRIBUTION TO THE UN SYSTEM*
(\$000 Cdn)

| | <u>Fiscal Year Ending</u> | | |
|---------------------------------------|---------------------------|-------------|-------------|
| | March 31/79 | March 31/78 | March 31/77 |
| I. UN Regular Budget | 17,171 | 13,470 | 9,593 |
| II. Peacekeeping | | | |
| UNEF/UNDOF | 2,782 | 3,589 | 2,803 |
| UNIFIL | 3,682 | | |
| III. Social and Economic Programs | | | |
| UNDP | 39,000 | 34,000 | 29,000 |
| UNHCR | 1,000 | 850 | 750 |
| UNICEF | 7,500 | 8,600 | 6,500 |
| UNRWA** | 5,150 | 4,000 | 3,550 |
| UNITAR | 80 | 80 | 70 |
| UNEPTSA | 275 | 250 | 225 |
| WFP** | 95,000 | 95,000 | 101,400 |
| UNFPA | 7,000 | 7,000 | 5,000 |
| Committee on Racial Discrimination | 5 | 5 | 3 |
| Trust Fund for South Africa | 20 | 20 | 10 |
| Fund for Drug Abuse Control | 100 | 200 | 200 |
| Voluntary Fund for Environment | 1,109 | 2,618 | 1,474 |
| IV. Special Agencies | | | |
| ILO | 4,349 | 3,288 | 2,386 |
| FAO | 4,640 | 5,015 | 2,928 |
| WHO | 6,574 | 5,206 | 4,084 |
| UNESCO | 5,198 | 3,484 | 3,403 |
| ICAO | 661 | 578 | 498 |
| IMCO | 60 | 53 | 47 |
| ITU | 1,639 | 1,229 | 928 |
| WMO | 426 | 291 | 286 |
| UPU | 480 | 365 | 291 |
| WIPO | 86 | 180 | 144 |
| IAEA | 2,431 | 1,648 | 1,236 |
| GATT | 1,249 | 805 | 697 |
| V. UN Association in Canada | 55 | 55 | 55 |

* Canada generally ranks sixth, seventh or eight among the contributing countries.

** The contributions to UNRWA and WFP include a cash portion and a contribution in kind such as food grains.

APPENDIX G

AN EVALUABILITY ASSESSMENT

OF

PUBLIC AFFAIRS: ABROAD

Office of Evaluation and Audit
Department of External Affairs
February, 1980

TABLE OF CONTENTS

| | <u>PAGE</u> |
|----------------------------------|-------------|
| 1. INTRODUCTION | 1 |
| 2. DESCRIPTION | 2 |
| 2.1 Organization | 2 |
| 2.2 Resources | 2 |
| 2.3 Mandate | 3 |
| 2.4 Principal Objectives | 3 |
| 2.5 Clients | 5 |
| 2.6 Process Description | 7 |
| 2.7 Outputs | 9 |
| 2.8 Perceived Effects or Results | 14 |
| 2.9 Data Bases | 18 |
| 2.10 Previous Evaluation | 20 |
| 3. EVALUABILITY PROFILE | 21 |
| 4. EVALUATION DESIGN | 23 |
| 4.1 Recommended Approach | 23 |
| 4.2 Scope | 23 |
| 4.3 Issues to be Addressed | 24 |
| 4.4 Methodology | 27 |
| 4.5 Resources | 30 |
| 4.6 Alternatives Considered | 31 |

AN EVALUABILITY ASSESSMENT
OF
PUBLIC AFFAIRS: ABROAD

1. INTRODUCTION

Following a decision to introduce the concepts of program evaluation to the Department of External Affairs, the Office of Evaluation and Audit completed a preliminary evaluation study of the Department. This analysis identified some 28 evaluation components within the Department's existing organization, programs, and activities. Some of these components are coincident with the existing organizational structure, while others may cross or combine existing boundaries. A plan has been prepared to enable each of the components to be evaluated during the next few years.

Prior to commencing any particular evaluation, the component in question is subjected to an evaluability assessment. Essentially, the purpose of this assessment is to determine the extent to which a program component (or its major parts) is evaluable, to prepare the outline of a recommended evaluation design, and to estimate the resources required.

Public Affairs: Abroad is one such program component of an initial set of three selected for evaluability assessment by the Evaluation and Audit Committee. This assessment report reflects the cooperation and assistance generously provided by the Directors General and staff of the Bureau of International Cultural Relations and the Bureau of Information.

Chapter 2 of this assessment provides a description of the Public Affairs: Abroad program component, in terms of the organizational units involved, objectives, major activities and outputs, resources, clients and perceived effects. An evaluability profile is then presented which shows, in tabular format, the extent to which the component is considered to be evaluable, and the relative ease with which an evaluation can be done.

Chapter 4 then goes on to identify and to discuss possible methodological approaches to the design of the evaluation. An outline of the recommended design is put forward in terms of important parameters such as scope, approach, issues and resource implications. A limited number of alternatives or options are then discussed.

2. DESCRIPTION

2.1 Organization

In assessing the entire range of public affairs activities undertaken by the Department, which have over the years been structured in a number of different organizational ways to meet various exigencies, there seemed to be one basic function addressed to two fundamentally different audiences, viz., influencing public opinion through cultural contact and provision of information (i) at home, and (ii) abroad. For evaluation purposes, this wide range of activities was consolidated into two components, Public Affairs: Abroad, and Public Affairs: Domestic. Both components, like many others, cut across existing organizational lines. As envisaged for evaluation purposes the Public Affairs: Abroad component encompasses:

- I Cultural Affairs, FAC
- II Academic Relations, FAR (non-domestic programs)

both of which have had a separate organizational existence of about one decade, and
- III Information Abroad, FIA, FIE
which has had a much longer identifiable existence

The program activities are carried out in two Bureaux: the Bureau of International Cultural Relations with Gilles Lefebvre as Director General; and the Bureau of Information with K.G. Williamson as Director General. Assistant Under-Secretary J. Gignac has a staff responsibility vis-à-vis the program; line responsibility falls to Deputy Under-Secretary M. de Goumois.

2.2 Resources

Budgetary levels were frozen in 1976 because of austerity. Personnel levels have since been reduced twice. In constant dollars, the budget has diminished by about 20 percent. Nevertheless, considerable person year and financial resources have been devoted to this component during the past three fiscal years at Headquarters and abroad, as noted below.

a) Personnel

| | | | |
|-------------------------------------|--------------|--------------|--------------|
| Authorized Person Years (HQ) | 79/80 | 78/79 | 77/78 |
| I) | 22 | 22 | 22 |
| II) | 12.5 | 12.5 | 12.5 |
| III) | 46 | 53 | 53 |
| Approx. Related Post Resources (PY) | 292 | 309 | 315 |
| Total | <u>372.5</u> | <u>336.6</u> | <u>402.5</u> |

b. Expenditures (\$1,000)*

| | | | |
|-----------------------|--------------|--------------|--------------|
| I) | 2690 | 2577 | 3238 |
| II) | 2560 | 2646 | 2922 |
| III) | 5243 | 5483 | 5228 |
| Post Initiative Fund | 573 | 571 | -- |
| Capital | 55 | 16 | 18 |
| Grants, Contributions | 383 | 341 | 271 |
| Total | <u>11504</u> | <u>11634</u> | <u>11677</u> |

2.3 Mandate

The current mandate of this program is summarized very briefly below:

I. Cultural Affairs

Bilateral Agreements: Brazil (1944), Italy (1954), France (1965), Belgium (1967), USSR (1971), FGR (1975), Mexico (1976), Japan (1976)

II. Academic Relations

Spring 1977, 5 year plan approved by Cabinet
November 17, 1978, SSEA approved establishment of two Bureaux and of priorities

III. Information Abroad

Guidelines stated in a memorandum to the Minister (November 17, 1978)

2.4 Principal Objectives

I) Cultural Relations:

Cultural relations programs are intended (a) to strengthen a Canadian cultural presence in selected priority countries, based on federally sponsored exchange programs

* Excludes salaries; 79/80 is the budget forecast, other years show actual expenditures.

arising out of bilateral agreements, on the activities of Cultural Centres, and on closely related and increasing activities by provincial governments; (b) to improve professional opportunities abroad for Canadian artists and to open new markets for Canadian cultural products; and (c) to facilitate access to foreign resources for Canada's cultural community, and thereby to contribute to cultural development in Canada. This should enhance national unity and increase the active demonstration of Canada's bilingual identity abroad, as well as serving as a basis for improved relations in other areas.

II) Academic Relations (non-domestic):

The principal objectives are: (a) to develop an informed, well-disposed, and sustained interest in Canada among members of indigenous and therefore highly credible members of foreign leadership groups; (b) to help provide opportunities for Canadian professors and graduate students to maintain and develop contacts, on a partially reciprocal basis, with institutions and individuals outside Canada; (c) to improve the educational resources available to students and academics abroad wishing to pursue their scholarly interests in Canada.

III) Information Abroad:

The objectives of the program are, by the means of publicity projects, films, publications, exhibits and contact with the media: (a) to promote a positive general awareness of Canada among foreign publics, particularly in those countries identified as having the most bearing on our economic and political interests; (b) to place more specific images of Canada and information directly related to current Canadian Government objectives before the political, business and cultural elites in identified priority countries; and (c) to meet enquiries about Canada from foreign governments and publics. The role of the headquarters bureau is to provide guidance, materials and funding to posts to allow them to work towards the objective.

The World Exhibitions Program shares objectives (a) and (b) above, except that there is no emphasis on priority countries and the vehicle is a world exhibition. Efforts in this direction are coordinated by the Bureau of Information, but specific funds are provided under a separate vote for any major undertaking.

2.5 Clients

As might be expected of Public Affairs programs there is a wide range of identifiable audiences and clients which may be summarized as:

I Cultural Relations

| | |
|------------------------|---|
| Public | Abroad: Cultural community, general public (Priority to France, USA, EEC, la francophonie) |
| | Domestic: Cultural community; sports organizations |
| Posts or Missions | All missions (priority as shown) |
| Other Departments | Coordination with Secretary of State, Canada Council, CBC, NFB, National Museums, Health and Welfare (Sports), INA (Native Arts) |
| Provincial Governments | Coordination with arts and cultural ministries |
| Foreign Governments | Limited interaction re exchange agreements |
| Other | National and provincial sports organizations, Non-governmental organizations, International and Regional Organizations (Conseil de l'Europe, UNESCO, etc.) Canadian National Commission for UNESCO. |

II Academic Relations (non-domestic)

| | |
|--------|--|
| Public | Abroad: Academic Community (Priority to USA, Britain, France, Japan and EEC, with some emphasis on USSR and China) |
| | Domestic: Academic community; Association of Universities and Colleges of Canada |

| | |
|-----------------------------|--|
| Posts or Missions | Selected missions (primarily as in priority list above) |
| Other Departments | Work through and with various research councils and liaison with the Secretary of State. |
| Provincial Governments | Representation of Council of Ministers of Education (coordinates efforts abroad) |
| Foreign Governments | Limited interaction re exchange agreements |
| III Information Abroad | |
| Public | Abroad: Ministers, officials, legislators, media, business community, academic and cultural community, general public (via media or response to enquiries) |
| Posts or Missions | All missions (priority to USA, Japan and the EEC) |
| Senior Management | Certain reports, e.g., monthly press report |
| Other Bureaux | " |
| Other Departments | " |
| Provincial Governments | Posts provide information on individual provinces and frequently coordinate media coverage for visits by provincial ministers |
| Foreign Governments | Legislators and senior officials are principal target for most aspects of information program |
| International Organizations | Same as Foreign Governments |

2.6 Process Description

(1) Main Activities

| I | Cultural affairs (not prioritized) | <u>Percentage of Funds</u> |
|---|---|--------------------------------|
| | Exchange of persons (artists, bureaucrats, youth, specialists) | 18% |
| | Performing Arts Tours | 33% |
| | Visual Arts Exhibitions | 11% |
| | Cultural centres and galleries | 21% |
| | Cultural events (festivals, Canada weeks, etc.) | 6% |
| | Book programs (gifts, fairs) | 5% |
| | Publicity | 2% |
| | General Administration | 3% |

The headings above are the principal subprogram thrusts and the activities support these thrusts. They include identifying opportunities and establishing contacts to facilitate the above sub-programs. They also include the selection of individuals to be supported, negotiation of contracts, operation of the cultural centres, representation at various cultural events, etc. Some project evaluation is also carried out, particularly to determine audience appreciation (critical reviews, etc.)

| II | Academic Relations (non-domestic) | <u>Percentage of Funds</u> |
|----|---------------------------------------|--------------------------------|
| | Canadian Studies | 28% |
| | Scholarships | 40% |
| | University Exchanges | 26% |
| | Multilateral Conferences and Meetings | 4% |
| | Administration and Support | 2% |

The activities in support of the above programs concern themselves primarily with promoting Canadian Studies abroad and fostering a positive image of Canadian scholarship. They should also address themselves to bilateral educational exchanges. The vehicles used to achieve program objectives are: assistance to Canadian professors invited abroad to conduct Canadian Studies courses; speakers and seminars for professors and students; refresher courses in Canadian Studies; assistance to association dedicated to Canadian studies; translation, publication and distribution of books and documents by Canadian authors in the language of the country unit; regional seminars; visiting speakers; scholarships; and provision of Canadian books to interested professors and university libraries. Posts assist in arrangements

for scholarships and inter-faculty exchanges or academic seminars; recommendations on speakers and seminars; and promotion of Canadian studies.

| III Information Abroad | <u>Percentage of Funds</u> |
|---------------------------------|--------------------------------|
| Visits and Speakers | 9% |
| Research and Writing | 6% |
| Films and Audio Visual | 26% |
| Publications | 36% |
| Administration and Distribution | 8% |
| Policy and Programs | 14% |
| Management | 1% |

The headquarters activities include planning, controlling and evaluating headquarters and post programs, making arrangements for media visitors, producing, commissioning and supplying information materials (written, visual and oral), for the foreign media and publics responding to enquiries, and circulation of exhibits and films. The posts provide information locally, identify visitors and other programs opportunities, and liaise with the local media and public. In the last analysis delivery of the program rests with the posts, but they receive considerable direction, guidance and advice from headquarters. Moreover, priority setting, allocation of resources, analysis of programs, creation of new or revised information vehicles are primarily headquarters functions.

(b) Planning

The nature of many Public Affairs activities makes short term planning essential and longer term planning desirable. Scholarships must be arranged at least one year ahead and the mere booking of exhibitions or performing arts activities abroad requires 2-3 years lead time. Long term planning has, however, proved difficult in practice because of existing funding procedures and recurring resource restraints.

- I Cultural
- II Academic

Over half of cultural most academic activities are consumed by relatively fixed commitments which can be and are planned over several years. However, the remainder are dependent on the level of budget allocated annually which

fluctuates, becomes known late, and may not be open to supplementary submissions. In an effort to overcome this impediment, a 5 year plan was submitted to Treasury Board in May 1977 but planning on this basis appears to have been dropped by Treasury Board.

Currently a 20 year plan has been drafted and is now being costed for its resource implications. This plan is quite comprehensive and will be useful for the evaluation, but since it does not describe current activities, it has not been included in this assessment report.

III Information

As information activities are more responsive in nature than cultural and academic activities, they are more amenable to short term planning. Moreover, the program is by nature more flexible. During the past five years, well developed priorities have been established, instruments are known and their relative value graded, and some flexibility introduced through the post initiative fund. In response to the recent restraint measures it proved possible to initiate rapid shifts in spending emphasis among priority countries and priority programs.

2.7 Outputs

I Culture 1978-79

Most activities are designed to permit various cultural presentations to occur. A list of such presentations is presented here, as well as some meetings or visits arranged in the program.

(a) Performing Arts:

i) Music

TSO: Japan, China

NAC: Germany, Italy

Vancouver Symphony Orchestra: USA

Vancouver Chamber Choir: Seattle

Canada Quartet: Japan, Korea

Organist: Paris festival, d'Avignon festival

ii) Ballet

National Ballet: FGR, Holland

Toronto Dance Theatre: Eastern USA

BC 'Ksan: Adelaide Australia

Inuit: Alaska

iii) Jazz

One Third Ninth of Calgary: France, Belgium, FGR,
UK

Tommy Banks Band of Edmonton: Montreaux Jazz
Festival

Nexus: UK

iv) Theatre

NAC French Theatre: France, Belgium

Theatre du Rideau Vert: Festival D'Avignon

Michel Garneau & Co.: Dramaterzie, France

Jean-Louis Roux, THM: Lecture tour in USA

v) Lecture Tours

Mordechai Richler: Universities of FGR, Austria

Nicole Brassard: Hungary

Paul Chamberland: Hungary

(b) Visual Arts

London Film retrospective: Rome, Florence, Milan

Contemporary Painting: 6 Australian cities

Inuit Engravings: USA

Alberta Art Foundation: 5 Japanese cities

Ontario arts and life: UK, France, Belgium

14 Lithograph collections: Europe, Africa, USA

(c) Literature

Book gifts: 45 foreign libraries

2 literary prizes: France/Belgium and Australia

(d) Sports

Commonwealth Games Edmonton 3-12 August 1978

Visit of Cuban Minister

Exchange of trainers with 4 countries

(e) UNESCO

Biennial Conference November 1978

(f) Youth Exchange

Young leaders: France, Belgium, FGR

Young technicians: Mexico

(g) Management

i - Headquarters

1. development of a 20 year Cultural Activities plan

ii - Abroad

1. guidance and advice to Cultural Centres and priority posts

II Academic (1979)

(a) Scholarships

150 post graduate and post doctoral: 18 countries

(b) Academic Exchanges: China, 18 students each way
6 Canadian language teachers
3 Chinese teachers
USSR: 5 researchers each way
12 graduates each way

(c) Canadian Studies Abroad

| | Number of Universities | | Universities with courses wholly or partially about Canada | | Students reached by the courses about Canada | | Professors with a teaching and/or research interest in Canada | |
|---------------|------------------------|------|--|------|--|-------|---|------|
| | 1975 | 1979 | 1975 | 1979 | 1975 | 1979 | 1975 | 1979 |
| United States | 2747 | 2800 | 150 | 295 | 10000 | 15350 | 1200 | 2004 |
| France | 73 | 77 | 18 | 28 | 375 | 800 | 100 | 200 |
| Germany | 44 | 47 | 10 | 19 | 200 | 700 | 30 | 90 |
| Japan | 430 | 443 | no info | 28 | no info | 830 | 8 | 50 |
| Italy | 50 | 50 | 4 | 20 | 60 | 850 | 4 | 24 |
| Britain | 44 | 44 | 15 | 30 | 400 | 1000 | 200 | 500 |
| Totals | 3388 | 3461 | 197 | 420 | 11035 | 19530 | 1542 | 2868 |

(d) Publications

1119 subscriptions given to 181 university and related libraries
150 selective depository libraries abroad (funded by DSS and managed in cooperation with the National Library)

III Information 1978-79

(a) Visitors and Speakers

984 foreign visitors participated in 169 programs financially sponsored or organized by FIA

(b) Creative Services

i - Publications

1. Creation of 6 new publications
2. Revision of 4 publications
3. Printing of 78 jobs
4. 118 projects under way

ii - Exhibits and Displays

1. completed 8 exhibits
2. started 6 exhibits
3. borrowed 3 exhibits
4. Displayed:

| <u>Number</u> | | <u>Countries</u> | <u>Cities</u> |
|---------------|------------------|------------------|---------------|
| 16 | tridimensional | 15 | 88 |
| 14 | photographic | 23 | 55 |
| 4 | modular displays | 10 | 43 |
| <u>34</u> | | <u>48</u> | <u>186</u> |

iii - Research and Writing

1. distributed 28 articles and photostories
2. produced 17 press kits
3. assembled 36 general information kits
4. 100 special projects
5. responded to 1442 general and research enquiries from posts.

iv - Films TV and Photos

1. 3 new films begun
2. 4861 film prints purchased for posts
3. 100 sets of 5 NFB clips and 76 sets of 27 NRC clips supplied to posts for TV
4. 56 Videotapes of 13 TV programs supplied to posts.
5. Sound/slide show on Canadian architecture sent to over 70 posts
6. 28,000 still photos supplied to posts

(c) Management

- i - Headquarters
 1. Reordering of activities in response to resource reductions in 1978 and in 1979
 2. Reallocation of priorities
 3. Review of Publications Program.
- ii - Abroad
 1. 7000 letters to posts largely of an operational nature but also giving direction and advice.

2.8 Perceived Effects or Results

The identification of the true effects of a program of this nature, operating in a foreign environment, is clearly a study in itself. However, many of the effects which are perceived to arise from it are identified below.

I Culture

(a) Performing Arts

1. Audiences and critics abroad are made aware of Canadian ability to perform international works at an internationally acceptable level.
2. Audiences and critics abroad are made aware of Canadian creativity and Canadian artistic works of an internationally acceptable standard.
3. Critical reviews reach a wider audience than those present at a performance and provide feedback to performers.
4. Impresarios book performances that are known and reviewed; assisting Canadian performers abroad accordingly leads to other engagements and to economic benefits.
5. Direct contacts between Canadian performers and their peers in other centres of cultural excellence has beneficial effects.
6. Foreign audiences are directly presented with performances in French or English demonstrating the bilingual basis of Canadian society.
7. Federal support for both linguistic groups is a

clear demonstration of a political fact of importance to national unity at home and to foreign policy objectives abroad.

8. Audiences are exposed to performances which present a balanced impression of the diversity and creativity of Canadian society without political content.
9. New channels of communication are created which can be put to effective use about other themes of interest to Canada.

(b) Visual Arts

1. It asserts Canada's national identity.
2. Critical reviews give an international standing to the individual artist, increase his market opportunities and his economic potential.
3. Contacts with peers abroad enlarges the artists' professional horizons and potential.
4. The placing of artistic works in permanent collections of museums abroad perpetuates a favourable impression of the diversity and creativity of Canadian society.

(c) Literature

1. Donating books to selected foreign libraries ensures they have a balanced Canadian collection.
2. It encourages national and other libraries in priority countries to draw attention to, and to expand on this Canadian collection.
3. It facilitates the development of Canadian studies program.
4. It fosters better understanding and sympathy about Canada among an intellectual audience.
5. Literary prizes draw attention to Canadian achievements, promote an interest in and the sale of Canadian writings and strengthen the cultural projection of French and English Canada.

6. Sponsored visits abroad of Canadian writers, poets and playwrights, incite better knowledge of Canadian writing among intellectual audiences and the media.

(d) Sports

1. Provides mechanisms for various national and provincial sports organizations to participate in international sports federations.
2. Ensures coordinated policy towards international sports events.
3. Facilitates holdings of international sports events in Canada.
4. International sports participation
 - a) enhances performance of Canadian athletes through competition;
 - b) strengthens national identity and national unity; and
 - c) reaches broad audiences.

(e) UNESCO

1. Provides federal leadership in coordinating provincial participation internationally in education, culture and technology.
2. Enables Canada to have a policy role in managing the world's cultural heritage, and in preparing for the future.

(f) Youth Exchanges

1. Increases knowledge of and sympathy for Canada and its concerns.

II Academic

1. Non-governmental Advisory Committee involves Canadian community of higher learning in academic exchange policy.
2. Canadian studies abroad are perceived as the most effective academic tool available to the Department as a means of achieving the principal objective of developing an informed, well disposed and sustained interest in Canada among members of foreign leadership

groups.

3. Canadian studies abroad, exchange of academics and the awarding of scholarships reach an elite group whose members are expected to pass on knowledge acquired about Canada.

III Information

(a) Visitors and Speakers

1. Media space and time are obtained abroad.
2. Impact is greater on foreign audiences because it is received through their own media.
3. Cost is often less than through direct Canadian methods e.g. advertising, exhibitions.
4. There are long term benefits in many cases by stimulative permanent interest and knowledge of Canada in opinion formers who have participated in the program.

(b) i) Creative Services

1. Enable posts to respond easily to different levels of enquiries.
2. Permit more detailed and complicated presentations than many other tools.
3. Inform and impress foreign audiences in selected languages.

ii) Exhibits and Displays

1. Enable large and varied audiences to be reached in receptive circumstances.
2. Enable posts to respond to host country desire for Canadian participation in exhibitions.
3. Provide posts with "props" for promoting contacts, as in Canada Days and receptions held at the opening at exhibits.

iii) Research and Writing

1. Professional and expert attention is devoted to the creation of information material which is responsive both to the national interest and foreign requirements.
2. Responding at Headquarters or abroad to enquiries provides information specifically designed to create favourable impressions.

iv) Films, TV and Photos

1. Photographic media are among the most direct and clearest means of asserting national

- identity to foreign audiences.
2. Films, TV and photo displays supplement written presentations of most foreign policy themes and issues such as national unity, economic potential, etc.
 3. They enable a large and varied audience to be reached.
 4. They provide useful outlets for Canadian artists, producers, etc.
 5. They compete internationally in festivals, etc.

2.9 Data Bases

The Country Program for each post annually contains "quantitative workload indicators" for actual and projected activities in the Public Affairs field of value to headquarters.

I Cultural

- (a) Performing Arts
financial data for each event is available as are performance reports and critical reviews together with number of audience present
- (b) Visual Arts
financial data, number of audience and critical reviews are kept
- (c) Literature
sketchy data base
- (d) Sports
sketchy data base
- (e) UNESCO
sketchy data base
- (f) Youth Exchange
Quantitative data on numbers of persons exchanged. Effects are difficult to measure.

II Academic

- (a) Canadian Studies
Quantitative data is available on person years, institutions and countries available but the nature of the program does not lend itself to keeping other

data in a useful form.

- (b) Academic Exchanges
Quantitative data is kept for China, USSR and France.

III Information

- (a) Visits and Speakers

Much of the data is subjective, long range and difficult to qualify. Visitors are selected on the basis of perceived reputation and potential impact. A visit may or may not result in quickly obtaining free space or time in the media. Space or time obtained is noted in the short term, but quantitative or more importantly, qualitative, measurement systems have not been extensively developed.

- (b) Creative Services

- (i) Publications

Detailed production cost, storage and distribution data is available, permitting cost benefit and other analytical approaches to be made.

- (ii) Exhibits

Cost, audience and some effects data is available.

- (iii) Research and Writing

Output data is available but data on effects is difficult to assess.

- (iv) Films, TV and Photos

Posts and NFB produce data on audience totals but not on audiences for each film. The number of TV films and clips placed abroad is known, but not the number of times shown or audience reached. Posts report the number of photos reproduced in the local media.

2.10 Previous Evaluation

The managers of public affairs programs have over the years subjected their programs to various degrees and kinds of evaluation, particularly during recurring periods of resource austerity, in a continuing attempt to optimize resource allocation, priority setting and program effectiveness. This process has, however, not been structured or continuous. The more formal studies include:

I Cultural II Academic

- (a) In 1976/77 outside experts assessed programs in their areas of competence covering scholarships, tours, exchange of professors, book presentations and cultural centre activities.
- (b) May 1977: Assessment of all programs submitted to T.B. in context of 5 year plan.
- (c) August 1979: Study of international cultural activities completed by Paul Schafer.
- (d) Assessments prepared for meetings of mixed commission for bilateral cultural exchanges.
- (e) Reports submitted by participants for each sponsored cultural event.
- (f) Annual activity reports for each cultural exchange.
- (g) Ongoing reports and comments on Canadian studies abroad are received from participants.

III Information

- (a) 1979-80. Zero based program and budget review.
- (b) Annual priority setting exercise.
- (c) Country program reviews.

3. EVALUABILITY PROFILE

The evaluability profile on the next page (Table 1) presents an assessment of various factors related to the Public Affairs: Abroad program component. There are five groupings of factors, namely; objectives, nature of the process, operational outputs of the process, effects of the process, and availability of data.

Three descriptors accompany each factor, arranged to reflect (left to right) the degree of difficulty of carrying out a full effectiveness evaluation. The circled descriptors express the collective judgement of the evaluation team, and the set of circled descriptors for all factors, gives a profile for evaluability. Sometimes, because of the range of activities, more than one descriptor will be circled; each applies to a different set of subprograms.

If all the circled descriptors are in the first column, then the implication is that the program is (or can be) sufficiently well-defined and enough information is available (or can be collected) to carry out a full effectiveness evaluation. In fact, one might still carry out such an evaluation if the profile has some factors in the second column. However, if there are certain circled descriptors in the third column, one may be constrained to a process or a conceptual evaluation, at least until such time as some necessary "front-end" work has been undertaken.

Similarly, if some descriptors are circled in the second, or third columns, but certain essential ones are in the first column (eg. process and outputs) one may carry out a process evaluation.

However, if all the circled descriptors lie in the third column, one is likely to be restricted to a conceptual evaluation. In many cases this conceptual evaluation might give rise to recommendations pertaining to objectives clarification or performance measurement systems (for instance) which would facilitate "higher order" evaluations later.

The basic assumption is that a conceptual evaluation is possible for any program component. The evaluation team used the evaluability profile to assess whether it is also feasible to carry out either a process evaluation or an effectiveness evaluation.

TABLE 1: EVALUABILITY PROFILE: PUBLIC AFFAIRS: ABROAD.

| FACTORS | DESCRIPTORS | | |
|--|--|---|--|
| <p>1. <u>Objectives</u></p> <p>-nature</p> <p>-potential for quantification</p> <p>-status</p> | <p>clear</p> <p>high</p> <p>given</p> | <p>fuzzy</p> <p>medium</p> <p>imputable</p> | <p>obscure</p> <p>low</p> <p>hard to impute</p> |
| <p>2. <u>Process</u></p> | <p>well defined, measurable</p> | <p>complex, difficult to measure</p> | <p>randomly driven</p> |
| <p>3. <u>Operational Outputs</u></p> <p>-nature</p> <p>-status</p> | <p>clear, measurable</p> <p>OPMS or equiv.</p> | | <p>non-measurable or irrelevant</p> <p>not monitored</p> |
| <p>4. <u>Effects</u> *</p> <p>-nature</p> <p>-links to outputs</p> <p>-status</p> | <p>identifiable, measurable</p> <p>strong</p> <p>evident</p> | <p>difficult to measure</p> <p>weak</p> <p>deducible</p> | <p>difficult to identify</p> <p>vague</p> <p>indeterminate</p> |
| <p>5. <u>Data</u> *</p> <p>-nature</p> <p>-status</p> | <p>quantifiable</p> <p>exist</p> | <p>qualitative</p> <p>obtainable with reasonable effort</p> | <p>highly subjective</p> <p>difficult to obtain</p> |

* Includes Cultural, Academic, Information: These parts may have sharper effects and data profiles individually.

4. EVALUATION DESIGN

4.1 Recommended Approach

The general aim of Public Affairs: Abroad is to create favourable attitudes towards Canada in foreign countries, and to foster understanding and cultural relations. The approach is multifaceted, comprising a number of major thrusts or subprograms, such as information dissemination, people exchanges, cultural presentations and the development of university related interest in Canada. Because of the diversity of activity, some aspects of the recommended evaluation are restricted to particular subprograms, whereas others are more general.

The principal focus of the proposed evaluation will be the objective resolution of a number of significant issues pertaining to the design, implementation and effectiveness of the program. This will be accomplished in part through a conceptual evaluation of the overall Public Affairs: Abroad program, and in part through complementary evaluations directed specifically at questions of the efficiency or effectiveness of certain subprograms.

An initial set of issues to be addressed is discussed in section 4.3; the proposed approach in each case is then described in outline form in the next section. The last section of the report identifies a number of alternatives, in terms of both methodology and evaluation objectives, that were considered but are not recommended at this time for various reasons.*

4.2 Scope

As can be inferred from the description above, the subprograms within the Public Affairs: Abroad program component can for convenience be classified into three groups. These groups can be called (I) cultural relations; (II) academic relations; and (III) information abroad. The roman numerals will be used to identify these groups in subsequent discussion.

The conceptual evaluation relating to general issues such as objectives and overall program design cuts across all these groups. More detailed evaluations emphasizing effectiveness are suggested for some subprograms in

* It is, of course, the prerogative of senior management to redirect the main emphasis of the evaluation as it desires.

group III. Rough outlines for other possible effectiveness or efficiency evaluations are discussed as alternatives for subprograms in groups II and III. Given existing resource constraints, these latter more narrowly focussed evaluations are better set aside until more fundamental issues have been resolved.

Many facets of the Public Affairs: Abroad program are carried out by the posts and headquarters Bureaux working hand-in-hand (setting up tours, scholarships, exchanges, visits by foreign journalists, responding to enquiries, etc.) To evaluate the program properly it is therefore essential to include the posts as part of the evaluation design. Similarly some targets of the program are ultimately influential members of foreign societies and they must also be included within the scope of some aspects of the evaluation.

The World Exhibitions subprogram is included in this component, since it has the same general aim and is administered within the same organizational units. However, it has a skeleton staff which is expanded only when agreement is reached to participate in an exhibition. Because each exhibition is handled as a unique separately funded project, it is not intended to consider this subprogram explicitly in the evaluation.

Since other federal agencies, provincial ministries and national organizations are deeply involved in at least the academic and cultural aspects of this component, they will have to be involved in some aspects of the evaluation process as well. Representatives of the particular groups will be interviewed to assess their perceptions of the External Affairs programs, and possible links with their own programs.

In carrying out the evaluation, an attempt will be made to coordinate efforts with any parallel studies, particularly those in the cultural area, to avoid wasteful duplication of effort and excessive diversion of persons interviewed from their normal tasks.

4.3 Issues to be Addressed

The principal thrusts of the proposed evaluation are presented in the following paragraphs as issues under several theme headings. Significant factors bearing on each issue are mentioned as well.

In any program evaluation, program design and allocation of resources are of fundamental concern. There are two main questions to be addressed:

(i) What activities/processes/outputs etc., properly follow from agreed objectives and who should carry them out organizationally (i.e., External Affairs or some other agency on one level, and who within External Affairs at another)?

(ii) What existing problems are there with respect to allocation of responsibilities, allocation of resources, communication, etc., between headquarters bureaux and posts? Are there steps which can be taken to improve the existing split?

To answer these questions properly, there must be agreement on the objectives. The evaluation thrusts in (a) and (b) below should provide clarification and assist in answering these basic questions. In fact, the evaluation will be generally geared to trying to answer these questions. It is important to ensure that the major program thrusts are appropriate before fine-tuning the program design.

a. Objectives and Assumptions

In moving from the general objective to operationally useful objectives, certain assumptions are made which largely shape the nature of the activities. Some objectives are generated which appear to have only a peripheral link to the departmental mandate, for example related to improving markets for cultural products. Different individuals give different weights to the various objectives and have different opinions on the validity of the assumptions. Which objectives are primarily foreign policy related and which have some other focus? What are the assumptions made, implicitly or explicitly, in formulating objectives and setting priorities? What objective evidence is there to support the assumptions? Are there other plausible assumptions which would generate different priorities?

b. Overlap/Duplication

In the field of cultural and academic relations many different agencies are involved. This gives rise to confusion and jealousies. It is asserted that formal agreements facilitate cultural exchanges and External Affairs must negotiate such agreements. However, other aspects of this program could be given to other

agencies with similar interests such as the Canada Council or the Secretary of State at the national level as their expertise is extremely valuable there. How are the interests balanced under the current organization? Are political considerations causing distortions which could be avoided in other forms of organization? Do cultural exchange agreements constrain the program to a certain degree and reduce the planning options?

c. Program Planning and Budgeting

The academic and cultural programs have operational cycles which exceed the fiscal year. Moreover, the entire set of public affairs programs has been subject to disproportionate fluctuations relative to other departmental programs at times of fiscal restraint and relaxation. For example, an expanded program for cultural relations approved in principle by Treasury Board in 1976 was curtailed in 1977 on the grounds of fiscal restraint.

What effect does this have on program planning, on morale, and on staff stability and quality? Are there mechanisms which could be used to get a firmer forward commitment? How close are we to a minimum spending level (where the program has only a demonstration effect)? Should grants and contributions for Canadian Studies be lumped for greater flexibility and spending effectiveness?

d. Effectiveness re Specific Subprograms

There are two aspects of information subprograms (group III) which are recommended for effectiveness evaluation. The first of these, the visiting journalist program, has a high internal priority. The second, the distribution of information abroad, is an important consideration in 'designing' the publications and films subprograms.

There are other subprograms in groups II and III which are also amenable to process or effectiveness evaluations. Unfortunately, a selection must be made from all possibilities because of resource constraints. In fact, one or other of the suggestions below might be deferred to a later evaluation. Still other possibilities are presented in the section on alternatives. They were placed in that section either because they would be extremely expensive or because the evaluation payoff does not intuitively appear to be as great as for those proposed.

No subprograms in the cultural relations group have been suggested for process or effectiveness evaluation. The objectives for this group are not as focussed as those in groups II and III, so that issues of objective clarification and overlap issues must be addressed first.

i. Visiting Journalist Program Effectiveness

This program is considered to be the top priority of all information programs. Its operational objective is to improve the understanding of Canada held by influential foreign journalists with the expectation that this will increase the quality and quantity of their writing in Canada. Is the program able to attract significant numbers of the most highly regarded journalists? Do the journalists in fact change their attitudes about Canada? Is this reflected in their writing, and if so, what effect does it have? How many journalists come to Canada apart from the program? Do resident foreign correspondents detect an increase in demand for or use of their articles by foreign media after a visit?

ii. Information Dissemination Effectiveness

In previous times of greater spending freedom, information materials (particularly publications) were widely distributed. More recently, headquarters has suggested certain types of publications should only be distributed to particular target audiences. A similar viewpoint has been adopted on the distribution of films.

Does the program in practice reflect this change in viewpoint? Are commercial channels sufficient in certain countries (e.g., for film distribution, cultural exposure)? Is this change in emphasis properly understood and implemented at posts? Are there barriers to implementation? Are the actual recipients different from the target audience used in planning? Is the distribution environment properly understood at headquarters? Are there better ways of handling publications to ensure product quality and use (e.g., is the information timely, is it read, is it jargon-bound)? What can be inferred about the effectiveness of the program?

4.4 Methodology

- a. The study of objectives and assumptions is primarily designed to clarify the foundation of the program. It

will assess whether the objectives are justified in the light of the departmental mandate and question the validity of the assumptions. These objectives and assumptions are the basis of program design, so a need for significant redesign may be indicated as a possible outcome. A prime concern of the conceptual overview, the study of this issue will be based partly on interviews with officers responsible for the program at home and abroad, interviews with program "customers" (e.g., artists, entrepreneurs, festival organizers) and a review of previous studies of relevance and appropriate cabinet submissions. It will also be an analytical study directed towards obtaining a comprehensive set of objectives logically linked with the underlying assumptions. Links to priority setting will be deduced to examine the impact of putting different weights (relative importance) on the objectives, or replacing the assumptions by plausible alternatives.

Expressed slightly differently, the aim of this task will be to create a conceptual framework to assess the impact of assigning different priorities to different assumptions on program design.

- b. The issue of overlap/duplication with outside organizations will be addressed through a set of structural interviews with the principal agencies and representatives of customer groups involved. Persons interviewed will be asked how they view the respective responsibilities of their organization and External Affairs in the international field, and what similar activities are carried out in both organizations. They will also be asked to give their views as to how the responsibilities might change if there were a central arts funding agency like the British Council created. External Affairs officers at headquarters and major posts abroad would be asked similar questions. This should enable the evaluation team to identify areas of overlap.

Internal overlap will be addressed as well. This is of concern in large posts such as Paris where the public affairs program is carried out from different locations. The procedures to be followed are similar to those outlined in the previous paragraph, except the focus will be internal and apply only to a few specific locations.

The evaluators will then generate alternative administrative designs which could reduce any identified

overlap. These alternative designs would be presented to the same interviewees to determine their impression of the feasibility and impact of the alternatives. The aim of this portion of the study is to identify duplication and ways to eliminate it. A mutual clarification of each agency's perception of its mandate and role will be an added benefit.

- c. Program, planning and budgeting is always difficult when the planning horizon is necessarily much longer than the budget cycle. The National Science and Engineering Research Council now provides three-year grants to university researchers. Their system would be investigated to see whether it could be adapted to fit External Affairs, and whether there are real benefits to be obtained thereby. The feasibility and probable effects of splitting the External Affairs vote so as to separate Public Affairs authorized expenditures from those of other programs will also be investigated. The intent is to provide a conceptual evaluation of budgeting alternatives.

- d(i) The visiting journalists program is designed to improve the quantity and quality of reports about Canada in the foreign media. An indication of the program effectiveness might be obtained by means of a survey of the journalists who received assistance under this program. This would be carried out using a mailed questionnaire. The survey would cover those who had received assistance in some time interval ending at least one year from the date of the survey. The journalists would be asked to estimate how much they had written about Canada in the year prior to their visit and year after. They would also be asked to indicate specific areas in which they felt they had significantly expanded their knowledge or corrected faulty impressions of Canada. Finally they would be asked to indicate whether they are likely to have made such a trip without the aid of the department. There may be some reluctance to conduct such a survey since the invitation to participate is proffered with "no strings attached". Further discussion with the Bureau at the design stage will determine exactly what is possible. Foreign correspondents in Canada will be polled to see if they have noticed an increased receptivity to their copy after a journalistic visit. Consolidation of these impressions would provide some concrete measure of the effectiveness of the program. The ratio of journalists approached to those actually visiting Canada will be obtained if the data permit, as an indirect indication of the effectiveness in attracting highly regarded journalists.

d(ii) A comprehensive examination of information dissemination effectiveness would require extensive expenditure of resources. However, certain aspects of the issue can be addressed fairly economically. One part of the recommended approach would analyze existing data, supplemented where necessary by a survey of posts, to find out the inventory and turnover of information materials (publications, films, etc.) in the field, to whom they are distributed, and some indication of the use to which the material was put.

Using a small sample of representative posts, attempts will thus be made to estimate the degree to which material provided reaches its target audience, and to assess subjectively the extent to which this may contribute to meeting broader program objectives (i.e. the effects of distributing the information material). Alternatives will be identified and comparatively assessed as an input to possible program redesign, or as confirmation of the current design.

The other part of the approach would involve a readership questionnaire survey of recipients of post periodicals. The aim is to gauge whether the periodical is considered useful by its readers (and by implication merits continued publication).

This part of the evaluation is suggested because of the large amount of resources devoted to producing and distributing publications (nearly two million dollars), about half of which is for post periodicals. There also appears to be little concrete evidence of the worth and impact of publications. The steps outlined would provide some initial evidence and perhaps spur program redesign for greater economy or effectiveness.

4.5 Resources

Overall responsibility for the design and execution of the evaluation will be that of the Director of Evaluation, within EAP. A team approach will be used. The project team will be led by an experienced evaluation project manager, and staffed by a combination of EAP staff and program evaluation consultants contracted from the Bureau of Management Consulting or from the private sector. Some involvement of program managers and line staff will also be required, of course, and part-time coordinating officers will be requested from program resources to ensure close liaison with the evaluation team.

The total elapsed time required to carry out an evaluation of Public Affairs: Abroad, as proposed in outline form above, is estimated to be six to eight months.

This would depend to some extent on how many tasks were conducted in parallel, and possible delays in data collection.

The total resource requirements to complete the proposed evaluation are as follows:

- a) one experienced program evaluation manager for design assistance and technical supervision - 8 person-weeks;
- b) one full-time experienced program evaluation consultant to lead the study - 28 person-weeks;
- c) one full-time EAP staff member to assist in conducting the study - 32 person-weeks;
- d) travel funds to cover anticipated brief trips to roughly five posts abroad (two persons) and a limited number of domestic trips (one person) - \$12,000.

The estimated cost of contracting the evaluation expertise not currently available within EAP (items (a) and (b) above) is in the order of \$65,000. Total non-salary costs of the proposed evaluation would thus be approximately \$77,000. Actual costs for professional services would to some extent depend on the proportion of the evaluation workplan that could be assumed by EAP staff.*

4.6 Alternatives Considered

Some of the alternatives considered and the reasons for not recommending them are summarized below:

a) Measuring the Effectiveness of Information Programs:

The direct way of measuring the attitudinal change in foreign countries would be by survey(s) of a sample of people in these countries. This was rejected out-of-hand as inordinately expensive, administratively awkward, and of dubious utility, since the links between program outputs and the ultimate change in public attitudes is rather tenuous.

* Significant changes in the proposed evaluation design (eg. eliminating or adding major tasks, or changing methodology) would also affect these estimated costs.

b) Staffing

One additional issue, staffing and training, was developed in as much detail as those recommended but was shifted to the alternatives because the potential payoff appears to be less.

Some of the questions attached to this issue are the following. What is the appropriate range and balance of skills in the organizational units responsible for the program at home and abroad? What are the effects of having generalists as compared to specialists? Can we buy expertise? Do generalists have difficulty in gaining acceptance in certain milieux? Is there adequate formal training? What are the implications inherent in "streaming" public affairs officers? Does a large contingent of specialists limit program flexibility?

There are three basic ways to provide specialized skills or knowledge within an organization, viz., engage an external expert on a temporary contract basis, hire an expert on a permanent basis or train an existing employee. The major special skills needed for this program would be ascertained by interviews with program staff and the cultural community in Canada and abroad. For each such skill, the benefits, disadvantages and costs of obtaining it in each of the above three methods would be listed. Implicit in this study are the advantages and disadvantages of using rotational staff. A small sample of the Canadian cultural community will be interviewed to find out which background factors (if any) limit the credibility of program officers in the cultural community, whether these could be reduced by special training or "streaming" and to what extent this reduces program effectiveness. The aim of this part of the evaluation is to identify the necessary skills mix and background of staff for maximum effectiveness - and find ways of moving towards that balance (improved resource utilization).

c) Other Subprogram Process and Effectiveness Issues

There are a family of other issues and questions which are more closely related to various aspects of the subprograms. It is probably premature until the objectives are clarified to focus too much on the existing process, since the program may be redesigned and activities significantly altered. Therefore only a few of many possible effectiveness and efficiency

questions have been identified below, and these are in areas where subprograms are fairly sharply defined.

One such issue is the effectiveness of the book donation portion of the Canadian Studies program. Are these books used in the university libraries or do they just augment the collections for prestige purposes? This could be addressed by recording the circulation of such books over, say, one year. This would require library cooperation and would be biased, to the extent that in-library book use is not recorded. This would be a short study.

Another question is whether there should be a follow-up program for scholarship recipients in their home countries. This would be addressed in a conceptual fashion by generating a set of alternative ways to implement such a program and carrying out a rough cost-benefit analysis to see whether any of them is worth introducing. This would also be a short study.

One efficiency question in the information program is whether enquiries are being properly screened at posts (using post resources in preference to headquarters). This could be addressed by a review of enquiries from posts to headquarters, looking for questions which likely ought to have been answered at posts. Analysis of the frequency of such enquiries could pin-point problems and serve as a stimulus to providing alternative responses to these enquiries. One alternative which should be analysed is the degree to which libraries abroad should be given functional guidance by the information program at headquarters.

Information only has value if it is timely. An indication of timeliness is provided by the turn-around time for an enquiry. Statistics could be compiled on turn-around time, linked to any priority indication in the enquiry. The effects of new systems of priority setting could be conceptually analyzed with the aid of these statistics. A related question is whether outdated material is retained at posts abroad, which could create a false impression of Canada if circulated.

Lastly, the whole question of the efficiency of material management for the information program could be studied by gathering detailed inventory statistics (perhaps in conjunction with ICERIS visits) and flow data from posts and using this data to perform a simple cost-benefit analysis for different delivery and inventory control systems. There may be savings possible here, for annual storage and shipment costs of publications total over \$400,000.



LIBRARY E A/BIBLIOTHEQUE A E



3 5036 20072240 6

DOCS

CA1 EA 80E82 ENG

Evaluation in the Department of
External Affairs : a plan for
development. --

43260665